

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004
Annual Plan for Fiscal Year 2001

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

**PHA Plan
Agency Identification**

PHA Name: RICHLAND HOUSING AUTHORITY

PHA Number: WA065v02

PHA Fiscal Year Beginning: (01/01/01)

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- X Main administrative office of the PHA
- ☐ PHA development management offices
- X PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- X Main administrative office of the PHA
- ☐ PHA development management offices
- X PHA local offices
- ☐ Main administrative office of the local government
- ☐ Main administrative office of the County government
- ☐ Main administrative office of the State government
- ☐ Public library
- ☐ PHA website
- ☐ Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- X Main business office of the PHA
- ☐ PHA development management offices
- ☐ Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004
[24 CFR Part 903.5]

A. Mission

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- X The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- X The PHA's mission is: (state mission here)

The mission of the Richland Housing Authority is dedicated to making safe, decent, affordable housing available through partnerships, technical assistance and access to resources, to help improve the quality of life for people in Richland and Benton County.

B. Goals

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

- X PHA Goal: Expand the supply of assisted housing
Objectives:
X Apply for additional rental vouchers:
☐ Reduce public housing vacancies:
X Leverage private or other public funds to create additional housing opportunities:
☐ Acquire or build units or developments
☐ Other (list below)
- X PHA Goal: Improve the quality of assisted housing
Objectives:
☐ Improve public housing management: (PHAS score)
X Improve voucher management: (SEMAP score)

- X Increase customer satisfaction:
 - X Concentrate on efforts to improve specific management functions:
(list; e.g., public housing finance; voucher unit inspections)
 - ☐ Renovate or modernize public housing units:
 - ☐ Demolish or dispose of obsolete public housing:
 - ☐ Provide replacement public housing:
 - X Provide replacement vouchers:
 - ☐ Other: (list below)
- X PHA Goal: Increase assisted housing choices
- Objectives:
- X Provide voucher mobility counseling:
 - X Conduct outreach efforts to potential voucher landlords
 - X Increase voucher payment standards
 - ☐ Implement voucher homeownership program:
 - ☐ Implement public housing or other homeownership programs:
 - ☐ Implement public housing site-based waiting lists:
 - ☐ Convert public housing to vouchers:
 - ☐ Other: (list below)

HUD Strategic Goal: Improve community quality of life and economic vitality

- ☐ PHA Goal: Provide an improved living environment
- Objectives:
- ☐ Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
 - ☐ Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
 - ☐ Implement public housing security improvements:
 - ☐ Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
 - ☐ Other: (list below)

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- X PHA Goal: Promote self-sufficiency and asset development of assisted households
- Objectives:

- X Increase the number and percentage of employed persons in assisted families:
- X Provide or attract supportive services to improve assistance recipients' employability:
- X Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- ☐ Other: (list below)

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- X PHA Goal: Ensure equal opportunity and affirmatively further fair housing Objectives:
 - X Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
 - X Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
 - X Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
 - ☐ Other: (list below)

Other PHA Goals and Objectives: (list below)

Annual PHA Plan
PHA Fiscal Year 2001
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

☐ **Standard Plan**

Streamlined Plan:

- ☐ **High Performing PHA**
☐ **Small Agency (<250 Public Housing Units)**
X **Administering Section 8 Only**

☐ **Troubled Agency Plan**

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

Table of Contents

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Annual Plan

- i. Executive Summary
- ii. Table of Contents
 - 1. Housing Needs
 - 2. Financial Resources
 - 3. Policies on Eligibility, Selection and Admissions
 - 4. Rent Determination Policies
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 - 6. Grievance Procedures
 - 7. Capital Improvement Needs
 - 8. Demolition and Disposition
 - 9. Designation of Housing
 - 10. Conversions of Public Housing
 - 11. Homeownership
 - 12. Community Service Programs

13. Crime and Safety
14. Pets (Inactive for January 1 PHAs)
15. Civil Rights Certifications (included with PHA Plan Certifications)
16. Audit
17. Asset Management
18. Other Information

Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

- ☐ Admissions Policy for Deconcentration
- ☐ FY 2000 Capital Fund Program Annual Statement
- ☐ Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- ☐ PHA Management Organizational Chart
- ☐ FY 2000 Capital Fund Program 5 Year Action Plan
- ☐ Public Housing Drug Elimination Program (PHDEP) Plan
- ☐ Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- ☐ Other (List below, providing each attachment name)

Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the "Applicable & On Display" column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI))) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies X check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures X check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for	Annual Plan: Capital Needs

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	any active CIAP grant	
	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter

families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being “no impact” and 5 being “severe impact.” Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	2600	5	3	4	3	2	4
Income >30% but <=50% of AMI	2809	3	3	2	2	2	3
Income >50% but <80% of AMI	4834	2	2	2	2	2	2
Elderly	1073	4	3	2	3	2	4
Families with Disabilities	1572	5	4	2	4	2	2
Race/Ethnicity	85%	3	2	1	2	2	2
Race/Ethnicity	1.2%	3	3	2	2	2	3
Race/Ethnicity	2.8%	3	2	1	2	2	2
Race/Ethnicity	11%	2	3	3	3	3	4

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- ☒ Consolidated Plan of the Jurisdiction/s
Indicate year: 2000-
- ☐ U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- ☐ American Housing Survey data
Indicate year:
- ☒ Other housing market study
Indicate year: 2000
Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
X Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	246		150
Extremely low income <=30% AMI	45	19%	
Very low income (>30% but <=50% AMI)	201	82%	
Low income (>50% but <80% AMI)	0	0	
Families with children	133	54%	
Elderly families	50	20%	
Families with Disabilities	33	14%	
Race/ethnicity	17 = w/h	7%	
Race/ethnicity	167 = w/n	68%	
Race/ethnicity	6 = b/n	3%	
Race/ethnicity	6 = other	3%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

Housing Needs of Families on the Waiting List

Is the waiting list closed (select one)? X No ☐ Yes

If yes:

How long has it been closed (# of months)?

Does the PHA expect to reopen the list in the PHA Plan year? ☐ No ☐ Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? ☐ No X Yes

C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

Over The course of the next year, the RHA will apply for the Grant opportunities made available by the US Department of Housing and Urban Development. Responding to HUD Nofas to increase the availability of affordable housing in Richland.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- ☐ Employ effective maintenance and management policies to minimize the number of public housing units off-line
- ☐ Reduce turnover time for vacated public housing units
- ☐ Reduce time to renovate public housing units
- ☐ Seek replacement of public housing units lost to the inventory through mixed finance development
- ☐ Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- X Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- X Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- X Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- X Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- ☐ Participate in the Consolidated Plan development process to ensure coordination with broader community strategies

☐ Other (list below)

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- X Apply for additional section 8 units should they become available
- ☐ Leverage affordable housing resources in the community through the creation of mixed - finance housing
- X Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- ☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- ☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- ☐ Employ admissions preferences aimed at families with economic hardships
- X Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- ☐ Employ admissions preferences aimed at families who are working
- ☐ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- ☐ Seek designation of public housing for the elderly
- X Apply for special-purpose vouchers targeted to the elderly, should they become available

☐ Other: (list below)

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- ☐ Seek designation of public housing for families with disabilities
- ☐ Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- X Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- X Affirmatively market to local non-profit agencies that assist families with disabilities
- ☐ Other: (list below)

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- X Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- ☐ Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- X Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- X Market the section 8 program to owners outside of areas of poverty /minority concentrations
- ☐ Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- X Funding constraints
- ☐ Staffing constraints
- ☐ Limited availability of sites for assisted housing

- X Extent to which particular housing needs are met by other organizations in the community
- X Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- X Influence of the housing market on PHA programs
- X Community priorities regarding housing assistance
- X Results of consultation with local or state government
- X Results of consultation with residents
- X Results of consultation with advocacy groups
- ☐ Other: (list below)

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2000 grants)	NONE	
a) Public Housing Operating Fund	NONE	
b) Public Housing Capital Fund	NONE	
c) HOPE VI Revitalization	NONE	
d) HOPE VI Demolition	NONE	
e) Annual Contributions for Section 8 Tenant-Based Assistance	3,459,539.00	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	NONE	
g) Resident Opportunity and Self-Sufficiency Grants	NONE	
h) Community Development Block Grant	NONE	
i) HOME	NONE	
Other Federal Grants (list below)	NONE	
2. Prior Year Federal Grants (unobligated funds only) (list below)	NONE	

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
3. Public Housing Dwelling Rental Income	NONE	
4. Other income (list below)		
4. Non-federal sources (list below)		
Management fee for 3-rivers senior Apartments.	16,176.00	
Total resources	3,475,715.00	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

SEE ATTACHMENTS:

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

NONE

(1) Eligibility = NA

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- ☐ When families are within a certain number of being offered a unit: (state number)
- ☐ When families are within a certain time of being offered a unit: (state time)
- ☐ Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- ☐ Criminal or Drug-related activity
- ☐ Rental history
- ☐ Housekeeping
- ☐ Other (describe)

- c. ☐ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- d. ☐ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- e. ☐ Yes ☐ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization = NA

- a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- ☐ Community-wide list
- ☐ Sub-jurisdictional lists
- ☐ Site-based waiting lists
- ☐ Other (describe)

- b. Where may interested persons apply for admission to public housing?

- ☐ PHA main administrative office
- ☐ PHA development site management office
- ☐ Other (list below)

- c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2. ☐ Yes ☐ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?

3. ☐ Yes ☐ No: May families be on more than one list simultaneously
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- ☐ PHA main administrative office
- ☐ All PHA development management offices
- ☐ Management offices at developments with site-based waiting lists
- ☐ At the development to which they would like to apply
- ☐ Other (list below)

(3) Assignment = NA

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- ☐ One
- ☐ Two
- ☐ Three or More

b. ☐ Yes ☐ No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences =NA

a. Income targeting:

- ☐ Yes ☐ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- ☐ Emergencies
- ☐ Overhoused
- ☐ Underhoused
- ☐ Medical justification
- ☐ Administrative reasons determined by the PHA (e.g., to permit modernization work)
- ☐ Resident choice: (state circumstances below)
- ☐ Other: (list below)

c. Preferences

1. ☐ Yes ☐ No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection **(5) Occupancy**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- ☐ Victims of domestic violence
- ☐ Substandard housing
- ☐ Homelessness
- ☐ High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans’ families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Date and Time

Former Federal preferences:

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)

Victims of domestic violence

Substandard housing

Homelessness

High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy = NA

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- ☐ The PHA-resident lease
- ☐ The PHA's Admissions and (Continued) Occupancy policy
- ☐ PHA briefing seminars or written materials
- ☐ Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- ☐ At an annual reexamination and lease renewal
- ☐ Any time family composition changes
- ☐ At family request for revision
- ☐ Other (list)

(6) Deconcentration and Income Mixing = NA

- a. ☐ Yes ☐ No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. ☐ Yes ☐ No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

☐ Adoption of site based waiting lists
If selected, list targeted developments below:

☐ Employing waiting list “skipping” to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:

☐ Employing new admission preferences at targeted developments
If selected, list targeted developments below:

☐ Other (list policies and developments targeted below)

d. ☐ Yes ☐ No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- ☐ Additional affirmative marketing
- ☐ Actions to improve the marketability of certain developments
- ☐ Adoption or adjustment of ceiling rents for certain developments
- ☐ Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- ☐ Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

- ☐ Not applicable: results of analysis did not indicate a need for such efforts
- ☐ List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

- ☐ Not applicable: results of analysis did not indicate a need for such efforts
- ☐ List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Eligibility

- a. What is the extent of screening conducted by the PHA? (select all that apply)
- ☒ Criminal or drug-related activity only to the extent required by law or regulation
- ☐ Criminal and drug-related activity, more extensively than required by law or regulation
- ☐ More general screening than criminal and drug-related activity (list factors below)
- ☐ Other (list below)
- b. ☒ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c. ☒ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- ☒ Criminal or drug-related activity
- ☒ Other (describe below)
- INFORMATION SUBMITTED BY PREVIOUS LANDLORD AS TO
TENANT TAKING CARE OF UNIT, UNPAID RENT, UNPAID DAMAGES.

(2) Waiting List Organization

- a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)
- ☐ None
- ☐ Federal public housing
- ☒ Federal moderate rehabilitation
- ☐ Federal project-based certificate program
- ☐ Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

X PHA main administrative office

☐ Other (list below)

(3) Search Time

a. X Yes ☐ No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

(If circumstances are documented as to why the applicant was unable to locate and lease-up a unit within the initial 60 days).

(4) Admissions Preferences

a. Income targeting

☐ Yes X No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1. X Yes ☐ No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

X Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)

☐ Victims of domestic violence

X Substandard housing

☐ Homelessness

X High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

☐ Working families and those unable to work because of age or disability

☐ Veterans and veterans' families

☐ Residents who live and/or work in your jurisdiction

☐ Those enrolled currently in educational, training, or upward mobility programs

☐ Households that contribute to meeting income goals (broad range of incomes)

- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences

- 1 Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- 1 Victims of domestic violence
- 1 Substandard housing
- 1 Homelessness
- 1 High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- X Date and time of application
- ☐ Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one)

- ☐ This preference has previously been reviewed and approved by HUD
☐ The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- ☐ The PHA applies preferences within income tiers
X Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- X The Section 8 Administrative Plan
X Briefing sessions and written materials
☐ Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- X Through published notices
X Other (list below)
Local newspaper
Agency meetings
Flyers and Brochures
Community fairs

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

SEE ATTACHMENTS:

A. Public Housing = NA

Exemptions: PHAs that do not administer public housing are not required to complete sub-component

4A. N/A = SECTION 8 ONLY

(1) Income Based Rent Policies

Describe the PHA’s income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- ☐ The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- ☐ The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0
☐ \$1-\$25
☐ \$26-\$50

2. ☐ Yes ☐ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. ☐ Yes ☐ No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

- d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

- ☐ For the earned income of a previously unemployed household member
☐ For increases in earned income
☐ Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

- ☐ Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:

- ☐ For household heads
- ☐ For other family members
- ☐ For transportation expenses
- ☐ For the non-reimbursed medical expenses of non-disabled or non-elderly families
- ☐ Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- ☐ Yes for all developments
- ☐ Yes but only for some developments
- ☐ No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- ☐ For all developments
- ☐ For all general occupancy developments (not elderly or disabled or elderly only)
- ☐ For specified general occupancy developments
- ☐ For certain parts of developments; e.g., the high-rise portion
- ☐ For certain size units; e.g., larger bedroom sizes
- ☐ Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- ☐ Market comparability study
- ☐ Fair market rents (FMR)
- ☐ 95th percentile rents
- ☐ 75 percent of operating costs
- ☐ 100 percent of operating costs for general occupancy (family) developments
- ☐ Operating costs plus debt service
- ☐ The "rental value" of the unit
- ☐ Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)
- ☐ Never
- ☐ At family option
- ☐ Any time the family experiences an income increase
- ☐ Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)_____
- ☐ Other (list below)
- g. ☐ Yes ☐ No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)
- ☐ The section 8 rent reasonableness study of comparable housing
- ☐ Survey of rents listed in local newspaper
- ☐ Survey of similar unassisted units in the neighborhood
- ☐ Other (list/describe below)

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

- a. What is the PHA's payment standard? (select the category that best describes your standard)
- X ☒ At or above 90% but below 100% of FMR
- ☐ 100% of FMR
- ☐ Above 100% but at or below 110% of FMR
- ☐ Above 110% of FMR (if HUD approved; describe circumstances below)

- b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)
- ☒ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☒ The PHA has chosen to serve additional families by lowering the payment standard
- ☐ Reflects market or submarket
- ☐ Other (list below)
- c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)
- ☐ FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☐ Reflects market or submarket
- ☐ To increase housing options for families
- ☐ Other (list below)
- d. How often are payment standards reevaluated for adequacy? (select one)
- ☒ Annually
- ☐ Other (list below)
- e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)
- ☒ Success rates of assisted families
- ☒ Rent burdens of assisted families
- ☐ Other (list below)

(2) Minimum Rent

- a. What amount best reflects the PHA's minimum rent? (select one)
- ☐ \$0
- ☒ \$1-\$25
- ☐ \$26-\$50
- b. ☒ Yes ☐ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

Exemptions to the minimum rent requirements for hardship circumstances

Section 3(a)(3)(b) of the USHA generally states that financial hardships includes the following situations (1) the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State, or local assistance program; (2) The family would be evicted as a result of the imposition of the minimum rent requirement; (3) the income of the family has decreased because of changed circumstance, including loss of employment' (4) a death in the family has occurred' and (5) other circumstances determined by the PHA or HUD.

The Act provides that an exemption may not be provided if the hardship is determined temporary. The act also provides however, that the PHA or owner may not evict the family for non-payment of rent on the basis of hardship if the hardship is determined by the PHA or HUD to be temporary during the 90-day period, the family must demonstrate that the financial hardship is of a long-term basis. The PHA or HUD shall retroactively exempt the family from the applicability of the minimum rent requirement for the 90-day period.

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA's management structure and organization.

(Select one)

- ☒ An organization chart showing the PHA's management structure and organization is attached.
- ☐ A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover

Public Housing	NONE	
Section 8 Vouchers	307	75
Section 8 Certificates	29	29
Section 8 Mod Rehab	138	60
Special Purpose Section 8 Certificates/Vouchers (list individually)	100 DISABLED	22
Public Housing Drug Elimination Program (PHDEP)	NONE	
Other Federal Programs (list individually)	10 RURAL DEVELOPMENT	1

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

N/A

(2) Section 8 Management: (list below)

NONE

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

1. ☐ Yes ☐ No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (Select all that apply)

- ☐ PHA main administrative office
☐ PHA development management offices
☐ Other (list below)

B. Section 8 Tenant-Based Assistance

1. ☐ Yes X No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (Select all that apply)

- X PHA main administrative office
☐ Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

- ☐ The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name)

-Or-

- ☐ The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

(2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

- a. ☐ Yes ☒ No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (If no, skip to sub-component 7B)

b. if yes to question a, select one:

- ☐ The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

- ☐ The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

- ☐ Yes ☐ No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- ☐ Revitalization Plan under development
☐ Revitalization Plan submitted, pending approval

- ☐ Revitalization Plan approved
☐ Activities pursuant to an approved Revitalization Plan underway

☐ Yes ☐ No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
 If yes, list development name/s below:

☐ Yes ☐ No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
 If yes, list developments or activities below:

☐ Yes ☐ No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
 If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☐ No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

☐ Yes ☐ No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name:
1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/>

Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected:
6. Coverage of action (select one)
<input type="checkbox"/> Part of the development
<input type="checkbox"/> Total development
7. Timeline for activity:
a. Actual or projected start date of activity:
b. Projected end date of activity:

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☐ No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. Designation type:
Occupancy by only the elderly <input type="checkbox"/>
Occupancy by families with disabilities <input type="checkbox"/>

Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. ☐ Yes ☐ No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)
2. Activity Description
☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD

<input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

None as of yet!

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. ☐ Yes ☐ No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected: 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

B. Section 8 Tenant Based Assistance

1. ☐ Yes ☒ No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

Yes ☐ No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- ☐ 25 or fewer participants
☐ 26 - 50 participants
☐ 51 to 100 participants
☐ more than 100 participants

b. PHA-established eligibility criteria

☐ Yes ☐ No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

X Yes ☐ No: Has the PHA has entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? 10/22/99

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- ☒ Client referrals
- ☒ Information sharing regarding mutual clients (for rent determinations and otherwise)
- ☐ Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- ☐ Jointly administer programs
- ☐ Partner to administer a HUD Welfare-to-Work voucher program
- ☐ Joint administration of other demonstration program
- ☐ Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- ☐ Public housing rent determination policies
- ☐ Public housing admissions policies
- ☒ Section 8 admissions policies
- ☐ Preference in admission to section 8 for certain public housing families
- ☐ Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- ☐ Preference/eligibility for public housing homeownership option participation
- ☐ Preference/eligibility for section 8 homeownership option participation
- ☐ Other policies (list below)

b. Economic and Social self-sufficiency programs

- ☐ Yes ☐ No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8	54	38 = 5/29/01

- b. X Yes ☐ No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

- The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies

- ☐ Informing residents of new policy on admission and reexamination
- ☐ Actively notifying residents of new policy at times in addition to admission and reexamination.
- ☐ Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- ☐ Establishing a protocol for exchange of information with all appropriate TANF agencies
- ☐ Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- ☐ High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- ☐ High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- ☐ Residents fearful for their safety and/or the safety of their children
- ☐ Observed lower-level crime, vandalism and/or graffiti
- ☐ People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- ☐ Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- ☐ Safety and security survey of residents
- ☐ Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- ☐ Analysis of cost trends over time for repair of vandalism and removal of graffiti
- ☐ Resident reports
- ☐ PHA employee reports
- ☐ Police reports

- ☐ Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- ☐ Other (describe below)

3. Which developments are most affected? (list below)

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- ☐ Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- ☐ Crime Prevention Through Environmental Design
- ☐ Activities targeted to at-risk youth, adults, or seniors
- ☐ Volunteer Resident Patrol/Block Watchers Program
- ☐ Other (describe below)

2. Which developments are most affected? (list below)

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- ☐ Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- ☐ Police provide crime data to housing authority staff for analysis and action
- ☐ Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- ☐ Police regularly testify in and otherwise support eviction cases
- ☐ Police regularly meet with the PHA management and residents
- ☐ Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- ☐ Other activities (list below)

2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- ☐ Yes ☐ No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- ☐ Yes ☐ No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- ☐ Yes ☐ No: This PHDEP Plan is an Attachment. (Attachment Filename: ____)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. ☐ Yes ☐ No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. X Yes ☐ No: Was the most recent fiscal audit submitted to HUD?
3. X Yes ☐ No: Were there any findings as the result of that audit?
4. ☐ Yes X No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? ____
5. X Yes ☐ No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. ☐ Yes ☐ No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and

other needs that have **not** been addressed elsewhere in this PHA Plan?

2. What types of asset management activities will the PHA undertake? (select all that apply)

- X Not applicable
☐ Private management
☐ Development-based accounting
☐ Comprehensive stock assessment
☐ Other: (list below)

3. ☐ Yes ☐ No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. ☐ Yes X No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
☐ Attached at Attachment (File name)
☐ Provided below:
3. In what manner did the PHA address those comments? (select all that apply)
☐ Considered comments, but determined that no changes to the PHA Plan were necessary.
☐ The PHA changed portions of the PHA Plan in response to comments
List changes below:

☐ Other: (list below)

B. Description of Election process for Residents on the PHA Board

1. X Yes ☐ No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2. ☐ Yes ☐ No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- ☐ Candidates were nominated by resident and assisted family organizations
☐ Candidates could be nominated by any adult recipient of PHA assistance
☐ Self-nomination: Candidates registered with the PHA and requested a place on ballot
☐ Other: (describe)

b. Eligible candidates: (select one)

- ☐ Any recipient of PHA assistance
☐ Any head of household receiving PHA assistance
☐ Any adult recipient of PHA assistance
☐ Any adult member of a resident or assisted family organization
☐ Other (list)

c. Eligible voters: (select all that apply)

- ☐ All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
☐ Representatives of all PHA resident and assisted family organizations
☐ Other (list)

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: (provide name here)
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
- X The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- X The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- X The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- X Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

APPLY FOR ANY ADDITIONAL SECTION 8 ASSISTANCE
MADE AVAILABLE FROM HUD

☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)
COMPLIANCE AND SUPPORT LETTER PREVIOUSLY SUBMITTED

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

PHA Plan Table Library

Component 7 Capital Fund Program Annual Statement Parts I, II, and II

Annual Statement Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number FFY of Grant Approval: (MM/YYYY)

☐ Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	
3	1408 Management Improvements	
4	1410 Administration	
5	1411 Audit	
6	1415 Liquidated Damages	
7	1430 Fees and Costs	
8	1440 Site Acquisition	
9	1450 Site Improvement	
10	1460 Dwelling Structures	
11	1465.1 Dwelling Equipment-Nonexpendable	
12	1470 Nondwelling Structures	
13	1475 Nondwelling Equipment	
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

Annual Statement
Capital Fund Program (CFP) Part II: Supporting Table

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

Annual Statement

Capital Fund Program (CFP) Part III: Implementation Schedule

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Total estimated cost over next 5 years				

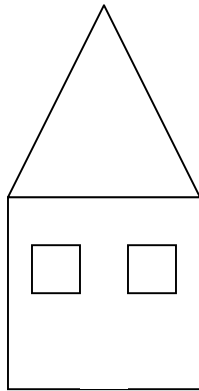
Optional Public Housing Asset Management Table

See Technical Guidance for instructions on the use of this table, including information to be provided.

Public Housing Asset Management								
Development Identification		Activity Description						
Name, Number, and Location	Number and Type of units	Capital Fund Program Parts II and III <i>Component 7a</i>	Development Activities <i>Component 7b</i>	Demolition / disposition <i>Component 8</i>	Designated housing <i>Component 9</i>	Conversion <i>Component 10</i>	Home-ownership <i>Component 11a</i>	Other (describe) <i>Component 17</i>

RICHLAND HOUSING AUTHORITY

The Comprehensive Agency Plan



Richland Housing Authority
Equal Housing Opportunity Agency

RICHLAND HOUSING AUTHORITY
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Copies of any information not physically included with this document can be reviewed in the Main Office of the Richland Housing Authority, 650 George Washington Way, Richland, WA 99352.

Executive Summary

EXECUTIVE SUMMARY

The Richland Housing Authority has prepared this Agency Plan in compliance with Section 511 of the Quality Housing and Work Responsibility Act of 1998 and the ensuing HUD requirements.

We have adopted the following mission statement to guide the activities of the Richland Housing Authority.

The mission of the Richland Housing Authority is to be the area's advocate for affordable housing. The Richland Housing Authority is dedicated to making safe, decent, affordable housing available through partnerships, technical assistance and access to resources, to help improve the quality of life for people in Richland and Benton County.

We have also adopted the following goals and objectives for the next five years.

Goal One: Expand the range and quality of housing choices available to participants in the Richland Housing Authority's tenant-based assistance program.

Objectives:

1. The Richland Housing Authority shall establish a program to help people participate in its tenant-based program to become homeowners by December 31, 2004.
2. The Richland housing Authority shall achieve and sustain a utilization rate of 98 percent by December 31, 2004, in its tenant -based program.
3. The Richland Housing Authority shall attract 100 new landlords who want to participate in the program by December 31, 2004.

Goal Two: Conduct and enhance, as appropriate, programs to address the housing needs of the community, and people with special needs.

Objectives:

1. Conduct a housing needs assessment of the community.
2. Explore funding options and potential partnerships to address needs.
3. The RHA shall locate at least two partners, non-profit or for-profit, locally or nationally based. These partners will work with the RHA on the acquisition, improvement and/or development of additional housing opportunities for low-income families.

Goal Three: Advocate for the housing needs of low-income residents.

Objectives:

1. Promote innovative activities/programs to meet the housing needs of low-income families. Increase the community awareness of affordable housing needs. Participate in efforts to expand available resources.
2. Increase the assets of the Richland Housing Authority and enhance the revenues to the Richland Housing Authority, allowing expansion of programs and facilities.

Our Annual Plan is based on the premise that if we accomplish our goals and objectives we will be working towards the achievement of our mission.

The plans, statements, budget summary, policies, etc. set forth in the Annual Plan all lead towards the accomplishment of our goals and objectives. Taken as a whole, they outline a comprehensive approach towards our goals and objectives and are consistent with the Consolidated Plan. Here are just a few highlights of our Annual Plan:

- We have adopted three local preferences—living in sub-standard housing, involuntarily displaced, and paying more than 50 percent of gross income on rent and utilities.
- In our Section 8 program, we are screening applicants to the fullest extent allowable while not taking away the ultimate responsibility from the landlord. Our screening practices will meet all fair housing requirements.
- Applicants will be selected from the waiting list by preference and in order of the date and time they applied.
- We have established a minimum rent of \$25.00.
- In an attempt to encourage work and advancement in the workplace, we will not require interim recertifications if a Section 8 participant has an increase in income. The increases will be adjusted at the next annual recertification.
- We are going to utilize 90 and 95 percent of the published FMR's as our payment standard for the Section 8 program.

In summary, we are on course to improve the condition of affordable housing in Richland Housing Authority.

Annual Plan

MISSION STATEMENT AND GOALS

MISSION STATEMENT

The mission statement of the Richland Housing Authority is:

The mission of the Richland Housing Authority is to be the area's advocate for affordable housing. We provide and maintain safe, quality housing in a cost-effective manner. By partnering with others, we offer rental assistance and other related services to our community in a non-discriminatory manner.

GOALS

The goals and objectives adopted by the Richland Housing Authority are:

Goal One: Expand the range and quality of housing choices available to participants in the Richland Housing Authority's tenant based assistance program.

Objectives:

1. The Richland Housing Authority shall establish a program to help people participate in its tenant-based program to become homeowners by December 31, 2004.
2. The Richland Housing Authority shall achieve and sustain a utilization rate of 98 percent by December 31, 2004.
3. The Richland Housing Authority shall attract 100 new landlords who want to participate in the program by December 31, 2004.

Goal Two: Conduct and enhance, as appropriate, programs to address the housing needs of the community, and people with special needs.

Objectives:

1. Conduct a housing need assessment in the community.
2. Explore funding options and potential partnerships to address needs.
3. The Richland Housing Authority shall locate at least two partners, non-profit or for-profit, locally or nationally based. These partners will work with us on the acquisition, and improvement and/or development of additional affordable housing opportunities for low-income families.

Goal Three: Advocate for the housing needs of low-income families.

Objectives:

1. Promote innovative activities/programs to meet the housing needs of low-income families. Increase the community awareness of affordable housing needs. Participate in efforts to expand available resources.
2. Increase the assets of the Richland Housing Authority and enhance the revenues to the Richland Housing Authority, allowing expansion of programs and facilities.

PROGRESS REPORT

In particular, here are our five-year goals and objectives and the status of each goal:

Goal One: Expand the range and quality of housing choices available to participants in the Richland Housing Authority's tenant-based assistance program.

Summary of Progress:

- (a) We have been successful in the development and implementation of a Community Housing Development Organization (CHDO) in Benton and Franklin County. And its first purchase and rehab.
- (b) Program utilization is at 90 percent.

Goal Two: Conduct and enhance, as appropriate, programs to address the housing needs of the community, and people with special needs.

Summary of Progress:

- (a) We have received 100 vouchers for the non-elderly disabled and have achieved 100% lease-up. Which has been done.
- (b) We have contracted with Common Ground to do the needs assessment for Tri-cities Consortium and the Cities consolidated plans.

Goal Three: Advocate for the housing needs of low-income residents.

Summary of Progress:

- (a) Developing senior housing in Benton City is in its final application phase.
- (b) We have purchased a single family home and rented it to a low-income family.

In summary, we believe we are making reasonable progress towards our goals given the resources we have available to us.

Assisted Housing Programs

The City of Richland

- The Richland Housing Authority (RHA) provides Section 8 rental assistance to 502 households annually.
- The RHA maintains a waiting list of about 300 households. It takes 18 months to 2 ½ years for a waiting household to receive assistance.
- In the voucher program, 100 vouchers have been set-aside for the disabled and 50 for the elderly.
- RHA has requested additional vouchers to be used for families working toward self-sufficiency and an additional unspecified number of new vouchers for the disabled.
- RHA and the City provide a variety of housing programs to lower income families including self-sufficiency, housing and employment counseling, education/advocacy referral, and a variety of home ownership assistance and rehabilitation programs.
- The private rental market is getting more difficult for low-income families to find affordable housing. However, the lowest income households are still in need of rental assistance even in the current soft market.

“The Richland housing Authority (RHA) since 1981 has been dedicated to making safe, decent, affordable housing available through partnerships, technical assistance and access through various resources to help improve the quality of life for people in Richland and Benton County.”

The Richland Housing Authority has signed a cooperation agreement with the Pasco Housing Authority, which allows Richland’s Section 8 Program participants to seek rental-housing units in the city of Pasco. This allows families a wider range of choice in locating nearer to schools and workplaces. A similar agreement has been maintained with the cities of West Richland, Benton City, and Prosser for several years.

Although the RHA does not own any public housing, the Housing Authority is currently under contract to manage the HUD subsidized Three Rivers Apartments, a 40 unit complex for the elderly and disabled located in Richland. This complex has steadily maintained a waiting list between 8-12 families.

In addition to the administration of the Section 8 program for Richland and the surrounding area, the Housing Authority provides a variety of housing services to the community. RHA provides housing counseling information and outreach to the community on housing programs for low and moderate-income families.

As part of these efforts, the RHA administers a self-sufficiency program, which couples supportive services with rental assistance to enable families to become financially independent of government housing support. Goal setting, employment counseling, education advocacy/referral, and transportation services are just a few activities of this program. Currently 58 families are participating in the self-sufficiency program.

The HOPE program operates in Richland promoting elderly independence. This program provides elderly families with rental assistance from the Section 8 program to prevent the premature institutionalization of the elderly.

Recently, the RHA has applied to HUD for additional Section 8 vouchers to assist disabled families living in the Tri-Cities area. In addition, the RHA has organized the Benton Affordable Housing Association, which will support the community as a Community Housing Development Organization (CHDO). The RHA is also currently making application and in development of farm worker housing for the area located between Benton City and Prosser.

The RHA programs combined with private units provide assistance to approximately 1,000 households annually. Given that the RHA public assistance figures include assistance to the cities of West Richland, Benton City, and Prosser, the number of Richland households assisted is actually smaller than 1,000. However, those households still in need of assistance may best be served through tenant-based assistance.

Permanent Affordable Housing

The Kennewick, Pasco and Richland Housing Authorities have a total of about 1,500 subsidized units for families and individuals (including Section 8 assistance), but these are rarely available to the homeless since the combined waiting lists contain over 1,000 households. As of 1995, there were an additional 1,300 units operated in the area by non-profits and private owners. These apartments are similarly not a resource for the homeless due to rents not being affordable or their inability to compete for vacant units. Nor is the private market capable of providing a source of affordable housing. The private market should not be entirely discounted, however, as it can be a valuable source of housing for the homeless if rent subsidies are available to make up the difference between what the tenant can pay and the market rent.

Housing Inventory for Populations with Special Needs **(Other than Homeless)**

Frail and Elderly

According to 1998 Washington State Office of Financial Management Statistics, 13,881 people (10.1% of the population) in Benton County are 65 years of age or older (elderly). In Franklin County, 4,174 people (9.4% of the population) are elderly.

The 1990s' have witnessed a leveling-off of the percentage of elderly people residing in the Tri-cities area. Benton County's elderly population has grown a mere 0.1% since 1990. During that same period, Franklin County's elderly population actually decreased by 0.5% and the state's overall percentage decreased by 0.3% (Table 9, Appendix). However, forecasters predict that the current age distribution of the Bi-County area will change dramatically over the next decade.

The population born between 1946 and 1964 are starting to reach age 50. By 2010, the percentage of people over 50 will have increased from 23% to almost 30% of the total population. This translates into an increase of almost 13,000 people based on current population figures. This "graying of the population" is going to have a profound impact on society. As this population continues to age, the need for additional elderly care facilities, assisted living housing, elder care and other services will explode.

There also exists a limited need for additional elderly housing in Richland. The Richland Housing Authority sets aside approximately 10%(50) of its Section 8 vouchers for elderly. In addition, the RHA manages a 40-unit elderly complex. According to the Richland According to the 1995 age distribution of the Bi-County area, a large percentage of the Housing Authority, the waiting list for this residence is only 8-12 households at any given time. However, it is not unusual for these households to wait 18 months to 2 years to be placed in housing.

People with Mental Illness

According to 1999 statistics, the Benton/Franklin Department of Human Services provides some type of service to 4,200 persons with mental illness each year in the Bi-County area. This total includes people with varying needs for mental health services ranging from brief intervention to lifetime case management. The Benton/Franklin Department of Human Services estimates that only 10-14% of the total population served can be classified as “seriously or chronically mentally ill”.

The City of Richland is home to approximately 850(20.3% of Bi-County total) residents receiving treatment for mental illness. Of these, 86% is receiving outpatient and case management services while living independently in the city. Of the total receiving services, approximately 28% are under 18, a little over 9% are elderly, and the remaining 63% are between the ages of 18 and 64. Almost 12% are minority persons.

Developmentally Disabled

Of those 850 residents in the city of Richland, approximately 252(20.3% of Bi-County total) are developmentally disabled, receiving some type of assistance. Approximately 25% of those persons are living in a group home setting or some other type of residential facility. The remaining 75% are either living with family members or are living independently in the community. Approximately 14% are minority persons; this percentage closely corresponds to the minority distribution seen in the Richland School District in 1998.

Also, the city of Richland is home to approximately 310(20.3% of Bi-county total) chemically dependent residents receiving some type of assistance. Almost 85% of the chemically dependent populations in Richland receive outpatient treatment. At any given time, 5% of this population is in detoxification and 13% are receiving inpatient services.

In 1994, DSHS provided 1,285 Richland residents with some type of service for those with self-care limitations. The types of housing needed for persons with self care limitations vary widely by the type of limitation including whether or not the limitation is permanent. Some individuals need permanent accessibility improvements, support services, and rent assistance. Other individuals need temporary living and/or financial assistance during the duration of their limitation.

According to discussions with providers of services for the development disabled, there does seem to be a substantial need for additional rentals as well as single-family homes that are wheelchair accessible. Another concern raised was the high purchase price of single-family residences, which make it cost prohibitive to move independent persons with developmental disabilities into single-family settings.

It is important for the Richland Housing Authority to continue investigations into the needs for that large group of persons with developmental disabilities who are currently living with family. As these people age, many will want to move out of the family home to experience some kind of independent living. Their parents aging and becoming physically unable to care for them, thereby, being forced out of the family home. These groups will require a variety of housing and supportive services. It is likely that even those with the highest level of functioning, will still only be able to hold down a low-paying job, hence, will be low-income persons requiring some kind of public housing assistance.

Housing Needs

NEEDS ASSESSMENT

The Quality Housing and Work Responsibility Act of 1998 requires that housing authorities set forth in our Annual Plan a Needs Assessment of the housing needs of our jurisdiction and our waiting list. Also, we are required to state how we intend to address these needs.

Attached is the information contained in the Housing Needs Section of our Consolidated Plan. It shows there is a significant need for additional affordable housing resources in our community. Also, per the requirements, we have attached data and tables that provide an analysis of our waiting list.

The information was analyzed in the following manner. We gathered data from our waiting lists and the City of Richland's Consolidated Plan. Then we looked at this information from the perspective of the required groups and or the factors set forth in the Interim Rule. Finally we consulted with the creators of the City of Richland's Consolidated Plan to ensure that they agreed with our analysis.

The Richland Housing Authority used this analysis to prepare our five-year goals and objectives. It reflects our priorities that we have set forth in our Mission Statement.

Finally, we are required to state how we intend to address our community's housing needs to the maximum extent practical. While we wish we could meet the needs that exist in our jurisdiction, we are not optimistic about achieving this objective. The problem is that we lack the resources to address our housing needs. Neither the Richland Housing Authority nor the Federal Government has the resources necessary to accomplish our objective. The only practical thing we can do is to apply for the grant opportunities made available by the U.S. Department of Housing and Urban Development over the course of the next year. Whenever possible we will respond to HUD NOFA's (Notices of Funding Availability) to increase the amount of affordable housing in Richland.

This year, we expect to receive \$3,371,240 funds for our existing programs. We will continue to use those resources to house people. Priorities and guidelines for programs often change from year to year and our decisions to pursue certain opportunities and resources may also change over the coming year if there are program changes beyond our control.

Overview of the Community

The Local History and Economy

In Washington State, the Tri-City area of Richland, Pasco and Kennewick sits in the southeast corner of Washington State at the confluence of the Northwest's mightiest river, the Columbia, and two of its major tributaries, the Snake and the Yakima Rivers. The smallest of the three cities, Pasco, is located on the east side of the Columbia River. The largest of the cities, Kennewick, lies just southwest of Pasco on the opposite shore. Richland is situated across from Pasco on the northwest bank of the Columbia River.

The original town of Richland was incorporated in 1910 as a small agricultural community. In 1943, when the U.S. Government selected the nearby towns of Hanford, White Bluffs and surrounding area to site its Manhattan Project, Richland's population grew from 300 to over 15,000 in one year. The Hanford site's activities continue to play a major role in the Tri-cities economy and the scientific community worldwide with Battelle's Pacific Northwest National Laboratories, the Laser Interferometer Wave Observatory, Environmental Molecular Science Laboratory and other science-related activities locating here.

According to the Washington State Employment Security Department, for purposes of special assistance consideration, counties that have experienced a three-year average unemployment rate that is 20% above the state's average rate are designated *distressed counties*. Based on recent legislation passed in 1998, Metropolitan Statistical Areas (MSA) is also considered distressed if their one-year average unemployment rate is 20% above the average. The Kennewick/Pasco/Richland MSA as well as Benton and Franklin Counties are *distressed* according to both of these sets of criteria.

Population Trends

Fast Facts...

- The population of the Tri-Cities is increasing rapidly, faster than the State.
- The Tri-cities community maintains a relatively young population.
- The percentage of elderly people in the area has remained steady during the 1990's but is expected to increase substantially by 2010.
- The Tri-cities population is becoming more racially and ethnically diverse.
- The Hispanic population is increasing faster than other populations.

After a decade of slow growth in the 1980's, the population of the Bi-County area grew 21.2% between 1990 and 1998 (Table 6, Appendix). During that same period, both counties exceeded the statewide growth rate of 16.8%. In Benton County, 63% (15,699) of the growth from 1990 to 1998 has been attributed to net migration (the difference between the number of persons moving into the area and those moving out of the area). Therefore, only 37% (9,241) of the increase in Benton County population has been attributed to natural increase (the difference between the number of births and deaths).

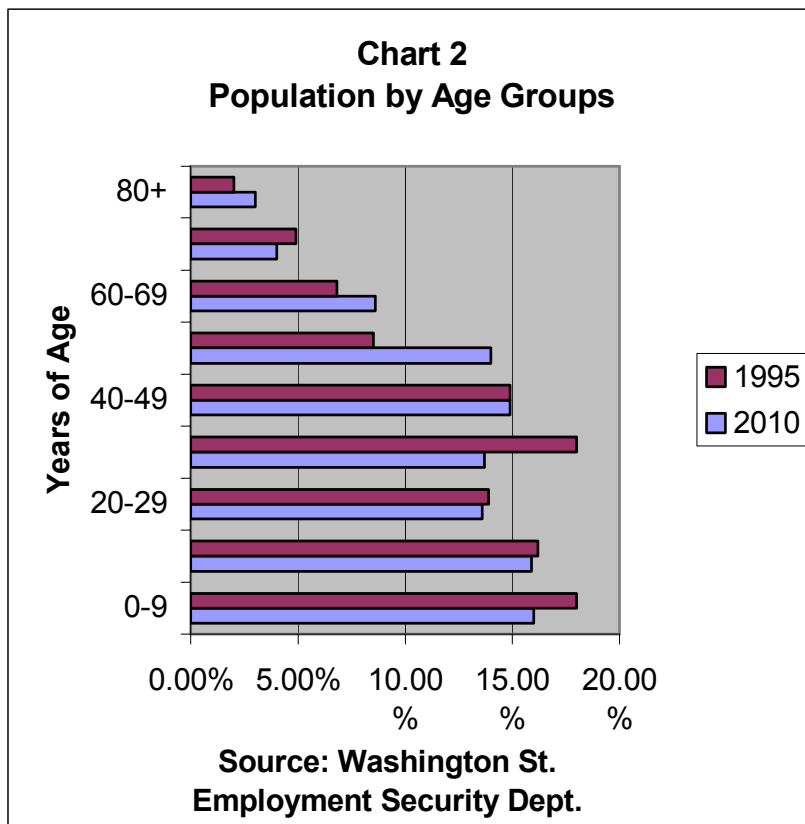
TABLE 7
Short-Term Population Growth

Area	1996	1997	1998	% Change
Kennewick	48,010	49,090	50,390	5.00%
Richland	35,590	36,550	36,860	3.60%
Pasco	22,370	25,300	26,090	16.60%
Tri-Cities Total	105,970	110,940	113,340	7.00%

Source: Washington State Office of Financial Management

As seen in Table 7, population growth for the short-term reveals a much more dramatic picture of population changes, Richland has slowed down significantly in the last three years. This difference in population growth may be tied to the stabilization of employment levels at Hanford over the last few years while agricultural sector jobs are on the increase.

Compared to the State of Washington, the bi-county area has a relatively young population. The population of each city has a median age less than that of the state, which in 1990 was 33.1 years of age.



After the previous decade's increase, the 1990's have witnessed a leveling-off of the percentage of elderly people residing in the Tri-cities area. Benton County's elderly population has grown a mere 0.1% to a total of 10.1% since 1990. However, forecasters predict that the current age distribution of the Tri-Cities will change dramatically over the next decade or so as illustrated by Chart 2.

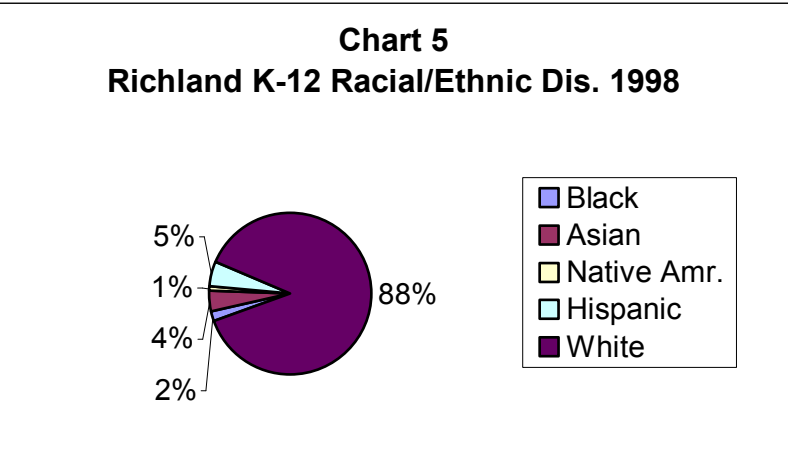
In spite of this area's lower overall median age, a large cohort of the population born between 1946 and 1964 is starting to reach age 50. By 2010, the percentage of people over 50 will have increased from 22% to 28% of the total population. This "graying of the population" is going to have a strong impact on society. Those same "boomers" who triggered the explosion of school and house construction during the 1950's will trigger an explosion in elderly care facilities in the next five to fifteen years.

Population Trends: Richland

The information provided by the Richland School District illustrates a very stable public school population in virtually all grades (Table 15). Since 1993, Kindergarten enrollment is down approximately 0.5%. During that same time, total enrollment was up by 10.6%. According to District officials, this growth in overall enrollment is due to an unusually large eighth-grade class moving through the school system, which is skewing the overall numbers. District staff has asserted that there have been no indications that there will be significant changes in the economic conditions of Richland in the near future. Therefore, projections for future enrollment are based directly on the stable enrollment numbers of the past several years.

TABLE 15
Actual Enrollment
Richland School District

Year	K-12
1993	8,267
1994	8,678
1995	8,719
1996	8,925
1997	8,991
1998	9,148



If the Richland School District enrollment is a relatively accurate reflection of the rest of the overall population, then the racial and ethnic distribution of Richland’s population has also changed since 1990. According to enrollment figures, Richland is becoming more racially and ethnically diverse. Chart 5 indicates that all the minority populations, with the exception of the Native American population whose population has remained steady, have grown to represent a larger percentage of Richland’s total population.

Source: Richland School District

Households

Fast Facts...

- Tri-Cities is an area with a significant number of large families.
- There is wide disparity in household income in the Tri-Cities.
- A significant number of racial and ethnic minority households live in poverty.
- Single-parent households are more likely to live in poverty than two-parent households.

Family Size and Household Composition

The Tri-Cities had an average household and family size higher in 1990 than Washington State. The area also has a higher percentage of married families and a lower portion of single-person and other non-family households than the state.

Summary

Economic Condition, Population and Household Trends since 1990

The population of the Tri-cities is growing faster than the overall population growth for the State of Washington. The composition of the population is changing. The percentage of elderly households has seen a period of small decrease and subsequent stabilization but is predicted to increase substantially over the next five to fifteen years.

The percentage of Hispanic residents continues to rise. A significant number of Tri-Cities area households live in poverty. The poverty rate is notably higher in minority and single-parent families.

The economy of the area continues to diversify to include a strong and growing agricultural sector, resulting in changes to the population distribution and income levels in the Tri-Cities.

Analysis of Current Housing Market Conditions

The Standard Housing Market

Housing Supply

Fast Facts...

- Of the 1998 housing stock in the Tri-Cities, Richland had the greatest percentage of single-family homes.
- The housing stock in Richland has grown by 18%; most of this growth was due to new construction.
- Between 1990-1998, approximately 7,129 households were added to the Tri-Cities while 6,761 new (unoccupied) housing units were created.

Homeownership Affordability

Homeownership affordability has been determined using a variety of assumptions in order to gain a better understanding of the ability of households of various sizes and income levels to purchase homes in the Tri-Cities. Affordability has been determined by identifying financial gaps between family income and costs of homeownership including mortgage payment, taxes, utilities and homeowners insurance.

A “point-in-time” homeownership affordability analysis has been conducted for each of the three cities utilizing the average home price as listed by the Tri-Cities Association of Realtors on April 20, 1999. For the purpose of this analysis, 1, 4, and 7-person households were considered. In addition, income levels of 100%, 80%, and 50% of median family income for the Counties of Franklin and Benton as determined by HUD in January 1999 were utilized.

It should be noted that HUD combines Franklin and Benton Counties into a single Metropolitan Statistical Area to determine median family income. Hence, for HUD’s purposes, the median family incomes are the same in all three of the Tri-Cities. As discussed earlier in this report, it is clear that due to the differences in employment levels in varying sectors, median incomes for three individual cities vary greatly.

However, HUD does not track this information for the individual cities, rather, HUD averages them together. Therefore, given that incomes are generally lower in Franklin County than in Benton County, it is safe to assume that the affordability gaps for Pasco may be more severe than represented in analysis. Conversely, the affordability gaps for Kennewick and, especially Richland may be less severe.

TABLE 32
Homeownership Affordability Analysis in Richland: 1999

	Household Size		
	One	Four	Seven
<i>At 50% of Median (Low)</i>			
Annual Income	\$16,850	\$24,100	\$29,900
30% of Monthly Income	\$421	\$603	\$748
Less: Utilities/Tax/Ins.	(\$281)	(\$289)	(\$297)
Affordable Mortgage Payment	\$140	\$314	\$451
Payment on Ave. Price Home	\$1,021	\$1,021	\$1,021
<i>Affordability Gap</i>	(\$881)	(\$708)	(\$571)
<i>At 80% of Median (Mod)</i>			
Annual Income	\$27,000	\$38,550	\$47,800
30% of Monthly Income	\$675	\$964	\$1,195
Less: Utilities/Tax/Ins.	(\$281)	(\$289)	(\$297)
Affordable Mortgage Payment	\$394	\$675	\$898
Payment on Ave. Price Home	\$1,021	\$1,021	\$1,021
<i>Affordability Gap</i>	(\$627)	(\$346)	(\$123)
<i>At 100% of Median</i>			
Annual Income	\$33,750	\$48,200	\$59,750
30% of Monthly Income	\$844	\$1,205	\$1,494
Less: Utilities/Tax/Ins.	(\$281)	(\$289)	(\$297)
Affordable Mortgage Payment	\$563	\$916	\$1,197
Payment on Ave. Price Home	\$1,021	\$1,021	\$1,021
<i>Affordability Gap</i>	(\$458)	(\$105)	\$0

Assumptions: HUD median income figures, effective 1/99
Ave. Richland home price \$148,294 (4/20/99 Tri-cities Assn. Of Realtors)
Int. rate 7.65%, 3% down-payment, monthly taxes \$178

Looking at the gaps in affordability, the challenges faced by those households earning median income or less, are similar for all three cities with at least one notable exception. The significantly higher average listing price of homes in the City of Richland has made homeownership for its population earning median income or less, much more challenging. A typical family of four, earning median income still falls short of being able to afford the average home on the Richland market.

Finally, it is also important to remember that in each of the cities, although to differing degrees, minority populations' face even greater challenges to homeownership than is indicated by the financial gaps discussed here.

The Multi-Family Housing Market

Fast Facts...

- Multi-family housing stock in each of the three cities has grown over the last decade although it represents a smaller percentage of the overall housing stock.
- As of March of 1999, the rental market has recovered somewhat. Vacancies in the Tri-cities range from 6-10% but still are not as low as those beginning the decade.
- The most prevalent multi-family unit in the Tri-Cities area is a two-bedroom apartment renting for about \$495/month.
- Households earning 30% or less of median income have great difficulty obtaining the average-priced apartment in Kennewick and Richland and to lesser degree in Pasco.

Supply

Richland increased its stock by 591 units, representing growth of 15%. Although multi-family units have increased since 1990, their overall market share in each of the three cities has actually declined somewhat. In Richland the share decreased from 28% of the stock in 1990 to 27% in 1998.

Demand

When new multi-family development was discouraged through the effects of high vacancies, the growing population of the Tri-Cities began to slowly absorb the surplus units over a period of several years. As of March 1999, the vacancy rates of the three cities have dropped significantly from their mid-1990s high. Richland's apartment vacancy rate dropped to 6%. However, current vacancy rates are still not as low as those beginning the decade.

Although all types of units are renting for slightly less now than in September of 1996, there have been more fluctuations in rents as the market attempts to stabilize. One-bedroom rents are only down 2% from September 1996, two and three bedroom rents are down 3% and 1%, respectively. The most change is seen in studio rents, down 9% from their September 1996 rate. Richland continues to stabilize as seen in its declining vacancy rate.

Rental Affordability

Data from the 1990 Census provided detailed information on renter households in the Tri cities, 4,834 renter households with incomes of 80% of median and below was paying more than 30% for housing, while 2,809 households were paying over 50%. In the Tri-Cities, about 50% of total low and moderate income households were paying over 30% of their income for rent. When looked at as a percentage of total households, however, approximately 21% of Richland renter households were paying more than 30% on housing.

Housing Needs Assessment

Overall Housing Needs

The soft rental market and its benefits for low-income families could easily change. As the population grows and homeownership opportunities shrink due to rising home process, the demand for rentals will increase. This will ultimately drive up the price for rental units in the Tri-cities. However, as the vacancy rates are still hovering between 6%-10%, it is likely that such a situation would occur suddenly or very soon. This possibility should be kept in mind; however, as priorities are set and planning for future housing initiatives are made.

Public and Assisted Housing

The public housing authorities serving the Tri-Cities as well as the individual cities, themselves, provide a wide range of homeownership training opportunities, down-payment assistance, as well as rental assistance for low-income families. Although most of the Housing Authorities maintain waiting lists for public housing, it can be argued that the private market, with additional tenant-based rental assistance, could fill the gap in needed housing for the general, low-income population. There are, however, some significant unmet needs in certain, vulnerable segments of the population.

Below is a summary of current gaps in housing experienced by Tri-cities populations with Special Needs. Those with what appeared to be the greatest needs are included here. This summary, however, is not to be understood, as a comprehensive picture of all the housing needs for each subpopulation.

Homeless

The greatest need appears to be in all types of housing for the homeless. For all 2,600+ homeless persons in Benton and Franklin Counties, there are a total of 52 shelter beds (excluding motel vouchers), 31 transitional housing units, and only 21 permanent housing units. In other words, if all homeless persons in the Bi-County area requested shelter on any given day, the physical housing resources currently available could accommodate only 2%.

Elderly

The need for additional elderly housing (including accessible units) is the greatest in Kennewick and Richland. The current need, however, is not overwhelming. Based on review of public housing waiting lists, it appears that a combination of a limited number of additional elderly housing in Kennewick and Richland coupled with the continued “renting-up” of the private market would address most of the current need. This will not, however, address the need for additional units, which include some degree of support services. Most providers in the area agreed that additional units were needed in this area.

Additional effort needs to be expended by the Tri-cities in preparing for the future, 10 years hence. Over the next 10-15 years the general population will age significantly, overburdening the current resources available. Planning for this eventuality should begin soon in order to avoid what could develop into a housing crisis for this population.

Mentally Ill and Developmentally Disabled

Both of these populations in the Tri-cities are very young. Almost one-third of the mentally ill population is under 18 and over half of the Tri-Cities developmentally disabled population is under 18. This translates into 1,225 young persons with mental illness or developmental disabilities, the majority of which are currently living at home.

When these people reach adulthood and either desire a certain amount of independence or because of aging parents will no longer be able to stay at home, they will require a wide range of housing and supportive services.

Due to the tight housing market, the ability to develop additional group residences in single-family settings is becoming more and more cost prohibitive. In order to enable these people the opportunity to live somewhat independently in a single-family community setting, additional resources will have to be identified.

Finally, we are required to state how we intend to address our community's housing needs to the maximum extent practical. While we wish we could meet the needs that exist in our jurisdiction, we are not optimistic about achieving the objective. The problem is that we lack the resources to address our housing needs. Neither the Richland Housing Authority nor the Federal Government has the resources necessary to accomplish our objective. The only practical thing we can do is to apply for the grant opportunities made available by the U.S. Department of housing and urban housing_and_Urban_Development over the course of the next year. Whenever possible we will respond to HUD NOFA's (Notices of Funding Availability) to increase the amount of affordable housing in Richland.



Financial Resources

Chapter 2

STATEMENT OF FINANCIAL RESOURCES

Rent Determination

RENT DETERMINATION RESPONSE

We have decided to set the following rent policies for the Section 8 Program.

1. We are retaining the calculation of the participant's contribution at greatest of 30% of adjusted income, 10% of monthly income, or shelter rent.
2. We are not adding any income exclusions to the statutory ones in the calculations of adjusted income because we cannot afford to do so at a time when Federal Government is under-funding housing opportunities.
3. As an incentive to help our Section 8 participants increase their income, we are not requiring that they report any increase in their income until their next regular re-certification.
4. We have determined to use 90% of the published FMR's as our payment standard. We anticipate re-examining this issue for the next year's Agency Plan when the future course of the program is clearer.
5. We have established a minimum rent of \$25.

****NOTE****

Exceptions to the minimum rent requirements for hardship circumstances.

Section 3(a)(3)(B) of the USHA generally states the financial hardships include the following situations (1) the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State, or local assistance program; (2) the family would be evicted as a result of the imposition of the minimum rent requirement; (3) the income of the family has decreased because of changed circumstances, including loss of employment; (4) a death in the family has occurred; and (5) other circumstances determined by the PHA or HUD.

The Act provides that an exemption may not be provided if the hardship is determined temporary. The act also provides however, that the PHA or owner may not evict the family for non-payment of rent on the basis of hardship if the hardship is determined by the PHA or HUD to be temporary during the 90-day period, the family must demonstrate that the financial hardship is of a long-term basis. If the family demonstrates that the financial hardship is of a long-term basis. The PHA or HUD shall retroactively exempt the family from the applicability of the minimum rent requirement for the 90-day period.

Operation and Management

OPERATION AND MANAGEMENT

The Richland Housing Authority has the following policies that govern our operations:

- ❖ Section 8 Administrative Plan
- ❖ Service Policy/Accommodations
- ❖ Travel Policy
- ❖ Sexual Harassment Policy
- ❖ Equal Employment Opportunity Plan
- ❖ Petty Cash Policy
- ❖ Admissions and Continued Occupancy Policy
- ❖ Blood Borne Disease Policy
- ❖ Check signing Policy
- ❖ Criminal Records Management Policy
- ❖ Drug Free Policy
- ❖ Equal Housing Opportunity Policy
- ❖ Ethics Policy
- ❖ Fund Transfer Policy
- ❖ Investment Policy (Board Resolution)
- ❖ Personnel Policy
- ❖ Procurement Policy
- ❖ Family Self-Sufficiency Policy

Copies of these policies can be located at Richland Housing Authority Main Office, 650 George Washington Way, Richland, Washington.

The Richland housing Authority administers the following Section 8 programs:

- 262 = Tenant based VOUCHERS regular program
- 50 = Tenant based VOUCHERS special program
(Housing for Elderly Independence)
- 100 = Tenant based VOUCHERS special program
(Housing for Disabled/Handicap Non-Elderly)
- 138 = Project based Section 8 Mod-Rehab program

In total the RHA is able to assist 550 families. On average, of all programs the turnover is approximately 120 new families per year being assisted under these programs.

In compliance with the Quality Housing and Work Responsibility Act of 1998, and as a Section 8 only housing authority with no public housing units, the Richland Housing Authority feels it is providing reasonable notice to housing authority assisted residents and the community, that there is an opportunity to serve on the board of commissioners in the following manner.

The attached fact sheet is produced by the City of Richland City Clerks office and is distributed to the following agencies:

- Benton City Bulletin (newspaper)
- Benton City Hall (bulletin board)
- Tri-City Herald (county wide newspaper)
- All local television stations
- All local radio stations
- All city offices
- Posted at the local Library
- On the City's Reader Board
- City Hall in West Richland

In addition the Richland Housing Authority sends notices to the local DSHS offices, Unemployment Office, Food Stamp Office, and Senior Citizen Center. Potential applicants, if interested, will be appointed by the Mayor of the City of Richland, in the same manner as all the other Commissioners.

Finally, attached is an organizational chart of the Richland Housing Authority.

Grievance Procedures

TENANT-BASED INFORMAL REVIEW PROCEDURE

The Richland Housing Authority will investigate and respond to complaints by participant families, owners, and the general public. The Richland Housing Authority may require that complaints other than HQS violations be put in writing. Anonymous complaints are investigated whenever possible.

1.0 INFORMAL REVIEW FOR THE APPLICANT

A. Informal Review for the Applicant

The Richland Housing Authority will give an applicant for participation in the Section 8 Existing Program prompt notice of a decision denying assistance to the applicant. The notice will contain a brief statement of the reasons for the Richland Housing Authority decision. The notice will state that the applicant may request an informal review within 10 business days of the denial and will describe how to obtain the informal review.

B. When an Informal Review is not required

The Richland Housing Authority will not provide the applicant an opportunity for an informal review for any of the following reasons:

1. A determination of the family unit size under the Richland housing Authority subsidy standards.
2. A Richland Housing Authority determination not to approve an extension or suspension of a certificate or voucher term.
3. A Richland Housing Authority determination not to grant approval to lease a unit under the program or to approve a proposed lease.
4. A Richland Housing Authority determination that a unit selected by the applicant is not in compliance with HQS.
5. A Richland Housing Authority determination that the unit is not in accordance with HQS because of family size or composition.
6. General policy issues or class grievances.
7. Discretionary administrative determinations by the Richland Housing Authority.

C. Informal Review Process

The Richland Housing Authority will give an applicant an opportunity for an informal review of the Richland Housing Authority decision denying assistance to the applicant. The procedure is as follows:

1. The review will be conducted by any person or persons designated by the Richland Housing Authority other than the person who made or approved the decision under review or a subordinate of this person.
2. The applicant will be given an opportunity to present written or oral objections to the Richland Housing Authority decision.
3. The Richland Housing Authority will notify the applicant of the Richland Housing Authority decision after the informal review within 14 calendar days. The notification will include a brief statement of the reasons for the final decision.

D. Considering Circumstances

In deciding whether to terminate assistance because of action or inaction by members of the family, the Housing Authority may consider all of the circumstances in each case, including the seriousness of the case, the extent of participation or culpability of individual family members, and the effects of denial or termination of assistance on other family members who were not involved in the action or failure to act.

The Housing Authority may impose, as a condition of continued assistance for other family members, a requirement that family members who participated in or were culpable for the action or failure to act, will not reside in the unit. The Housing Authority may permit the other members of a participant family to continue receiving assistance.

If the Housing authority seeks to terminate assistance because of illegal use, or possession for personal use, of a controlled substance, or pattern of abuse of alcohol, such use or possession or pattern of abuse must have occurred within one year before the date that the Housing Authority provides notice to the family of the Housing Authority determination to deny or terminate assistance. In determining whether to terminate assistance for these reasons the Richland Housing Authority will consider evidence of whether the household member:

- A. Has successfully completed a supervised drug or alcohol rehabilitation program (as applicable) and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol;
- B. Has otherwise been rehabilitated successfully and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol; or
- C. Is participating in a supervised drug or alcohol rehabilitation program and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol.
- D. Informal Review Procedures for Denial of Assistance on the basis of ineligible immigration status.

The applicant family may request that the Richland Housing Authority provide for an informal review after the family has notification of the INS decision on appeal, or in lieu of request of appeal to the INS. This request must be made by the applicant family within 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or within 30 days of receipt of the INS appeal decision.

For applicant families, the Informal Review Process above will be utilized with the exception that the applicant family will have up to 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or of the INS appeal decision to request the review.

2.0 INFORMAL HEARING FOR PARTICIPANTS

A. When a Hearing is Required

1. The Richland housing Authority will give a participant family an opportunity for an informal hearing to consider whether the following Richland Housing Authority decisions relating to the individual circumstances of a participant family are in accordance with the law, HUD regulations, and Richland Housing Authority policies:
 - a. A determination of the family's annual or adjusted income, and the use of such income to compute the housing assistance payment.
 - b. A determination of the appropriate utility allowance (if any) for tenant-paid utilities from the Richland Housing Authority utility allowance schedule.
 - c. A determination of the family unit size under the Richland Housing Authority subsidy standards.
 - d. A determination that a Certificate program family is residing in a unit with a larger number of bedrooms than appropriate for the family unit size under the Richland Housing Authority subsidy standards, or the Richland Housing Authority determination to deny the family's request for an exception from the standards.
 - e. A determination to terminate assistance for a participant family because of the family's action or failure to act.
 - f. A determination to terminate assistance because the participant family has been absent from the assisted unit for longer than the maximum period permitted under the Richland Housing Authority policy and HUS rules.
2. In cases described in paragraphs 16.3(A)(1)(d), (e), and (f), of this section, the Richland Housing Authority will give the opportunity for an informal hearing before the Richland Housing Authority terminates housing assistance payments for the family under an outstanding HAP contract.

B. When a Hearing is not Required

The Richland Housing Authority will not provide a participant family an opportunity for an informal hearing for any of the following reasons:

1. Discretionary administrative determinations by the Richland Housing Authority.

2. General policy issues or class grievances.
3. Establishment of the Richland Housing Authority schedule of utility allowances for families in the program.
4. A Richland Housing Authority determination not to approve an extension or suspension of a certificate or voucher term.
5. A Richland Housing Authority determination not to approve a unit or lease.
6. A Richland Housing Authority determination that an assisted unit is not in compliance with HQS. (However, the Richland Housing Authority will provide the opportunity for an informal hearing for a decision to terminate assistance for a breach of the HQS caused by the family.)
7. A Richland Housing Authority determination that the unit is not in accordance with HQS because of the family size.
8. A determination by the Richland Housing Authority to exercise or not exercise any right or remedy against the owner under a HAP contract.

C. Notice to the Family

1. In the case described in paragraphs 16.3(A)(1)(a), (b), and (c), of this section, the Richland Housing Authority will notify the family that the family may ask for an explanation of the basis of the Richland Housing Authority's determination, and that if the family does not agree with the determination, the family may request an informal hearing on the decision.
2. In the cases described in paragraphs 16.3(A)(1)(d), (e), and (f), of this section, the Richland Housing Authority will give the family prompt written notice that the family may request a hearing within 10 business days of the notification. The notice will:
 - a. Contain a brief statement of the reasons for the decision; and
 - b. State that if the family does not agree with the decision, the family may request an informal hearing on the decision within 10 business days of the notification.

D. Hearing Procedures

The Richland Housing Authority and participants will adhere to the following procedures:

1. Discovery
 - a. The family will be given the opportunity to examine before the hearing any Richland Housing Authority documents that are directly relevant to the hearing. The family will be allowed to copy any such document at the family's expense. If the Richland Housing Authority does not make the document(s) available for examination on request of the family, the Richland Housing Authority may not rely on the document at the hearing.

- b. The Richland Housing Authority will be given the opportunity to examine, at the Richland Housing Authority's offices before the hearing, any family documents that are directly relevant to the hearing. The Richland Housing will be allowed to copy any such document at the Richland housing authority's expense. If the family does not make the document(s) available for examination on request of the Richland Housing Authority, the family may not rely on the document at the hearing.

Note: the term document includes records and regulations.

2. Representation of the Family

At its own expense, a lawyer or other representative may represent the family.

3. Hearing Officer

- a. The hearing will be conducted by any person or persons designated by the Richland Housing Authority, other than a person who made or approved the decision under review or a subordinate of this person.
- b. The person who conducts the hearing will regulate the conduct of the hearing in accordance with the Richland Housing Authority hearing procedures.

4. Evidence

The Richland Housing Authority and the family must have the opportunity to present evidence and may question any witnesses. Evidence may be considered without regard to admissibility under the rules of evidence applicable to judicial proceedings.

5. Issuance of Decision

The person who conducts the hearing must issue a written decision within 14 calendar days from the date of the hearing, stating briefly the reasons for the decision. Factual determinations relating to the individual circumstances of the family shall be based on a preponderance of the evidence presented at the hearing.

6. Effect of the Decision

The Richland Housing Authority is not bound by a hearing decision:

- a. Concerning a matter for which the Richland housing Authority is not required to provide an opportunity for an informal hearing under this section, or that otherwise exceeds the authority of the person conducting the hearing under the Richland Housing Authority hearing procedures.
- b. Contrary to HUD regulations or requirements, or otherwise contrary to Federal, State, or local law.
- c. If the Richland Housing Authority determines that it is not bound by a hearing decision, the Richland Housing Authority will notify the family within 14 calendar days of the determination, and of the reasons for the determination.

E. Considering Circumstances

In deciding whether to terminate assistance because of violent criminal activity or criminal activity by members of the family, the Housing Authority may consider all of the circumstances in each case, including the seriousness of the case, the extent of participation or culpability of individual family members, and the effects of denial or termination of assistance on other family members who were not involved in the action.

The Housing Authority may impose, as a condition of continued assistance for other family members, a requirement that family members who participated in or were culpable for the action or failure to act will not reside in the unit. The Housing Authority may permit the other members of a participant family to continue receiving assistance.

If the Housing Authority seeks to terminate assistance because of illegal use, or possession for personal use, of a controlled substance, or pattern of abuse of alcohol, such use or possession or pattern of abuse must have occurred within one year before the date that the Housing Authority provides notice to the family of the Housing Authority determination to deny or terminate assistance. In determining whether to terminate assistance for these reasons the Richland Housing Authority will consider evidence of whether the household member:

1. Has successfully completed a supervised drug or alcohol rehabilitation program (as applicable) and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol;
2. Has otherwise been rehabilitated successfully and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol; or
3. Is participating in a supervised drug or alcohol rehabilitation program and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol.

F. Informal Hearing Procedures for Denial of Assistance on the Basis of Ineligible Immigration Status

The participant family may request that the Richland Housing Authority provide for an informal hearing after the family has notification of the INS decision on appeal, or in lieu of request of appeal to the INS. The participant family must make this request within 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or within 30 days of receipt of the INS appeal decision.

For the participant families, the Informal Hearing Process above will be utilized with the exception that the participant family will have up to 30 days of receipt of the *Notice of Denial or Termination of INS Decision*, or of the INS appeal decision.

Capital Improvements

NOT APPLICABLE – SECTION 8

As a Section 8 only housing authority we are not required to complete this section of the Annual Plan according to the February 18, 1999, Interim Rule.

Demolition and/or Disposition

NOT APPLICABLE – SECTION 8

As a Section 8 only housing authority we are not required to complete this Section of the Annual Plan according to the February 18, 1999, Interim Rule.

Designated Housing

NOT APPLICABLE – SECTION 8

As a Section 8 only housing authority we are not required to complete this Section of the Annual Plan according to the February 18, 1999, Interim Rule.

Public Housing Conversion

NOT APPLICABLE – SECTION 8

As a Section 8 only housing authority we are not required to complete this Section of the Annual Plan according to the February 18, 1999, Interim Rule.

Homeownership

HOMEOWNERSHIP RESPONSE – OPTION 2

The Richland Housing Authority does not currently operate a Homeownership Program. However, we do plan to begin a Homeownership program once HUD issues the final regulations covering the new Section 8(y) Homeownership Programs. Our plans are contingent on the practicalities of the new HUD regulations.

Family Self-Sufficiency

Chapter 12

FAMILY SELF-SUFFICIENCY

The Quality Housing and Work Responsibility Act of 1998 requires that housing authorities set forth in our Annual Plan a description of our Community Service and Self-Sufficiency Programs. This portion of the Plan is divided into three (3) sections:

- Our current resident programming;
- How we intend to comply with income changes for welfare recipients; and
- Compliance with the community service requirements.

First, let us describe our current resident programming. We are engaged in the following resident programs:

The Family Self-Sufficiency Program administers to families currently receiving housing assistance who are motivated to become financially independent from government assistance.

This program focuses on goal-setting and identifying barriers that keep families from succeeding. Our commitment is to help the family break those barriers through resource referral and individual and group motivation.

Our mission is to provide low-income families with the tools and dignity in order to obtain independence from all forms of government assistance.

Second, we will be in full compliance with the income changes for welfare recipient's requirement of the Quality housing and work Responsibility Act of 1998. We took care of the issue by modifying the income definitions in both our Admissions and Continued Occupancy Policy and our Section 8 Administrative Plan. The relevant section reads as follows:

- “1. If the amount of welfare is reduced due to an act of fraud by a family member or because of any family member's failure to comply with requirements to participate in an economic self-sufficiency program or work activity, the amount of rent required to be paid by the family will not be decreased. In such cases, the amount of income attributable to the family will include what the family would have received had they complied with the welfare requirements and/or had not committed an act of fraud.
2. If the amount of welfare assistance is reduced as a result of a lifetime time limit, the reduced amount is the amount that shall be counted as income.”

Finally, per the instructions given in the Interim rule, we are deferring decisions on how we will deal with the new community service requirement until HUD issues a final regulation on this matter.



Safety and Crime Prevention

Chapter 13

NOT APPLICABLE – SECTION 8

As a Section 8 only housing authority we are not required to complete this Section of the Annual Plan according to the February 18, 1999, Interim Rule.

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Ownership of Pets In Public Housing

Chapter 14

NOT APPLICABLE – SECTION 8

As a Section 8 only housing authority we are not required to complete this Section of the Annual Plan according to the February 18, 1999, Interim Rule.

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Civil Rights Certification

Audit

Chapter 16

Asset Management

Chapter 17

STATEMENT OF APPROACH TO ASSET MANAGEMENT

The Richland Housing Authority defines asset management as the ability to manage our properties in a way that maximizes their potential to fulfill the mission of the Housing Authority. We are in the process of beginning to develop an asset management system. When completed it will include:

1. A system to value the accomplishment of social objectives (i.e. the housing authority mission); and
2. A system for evaluating options for properties.

When these information and analysis systems are in place, we will be able to make decisions about the best use or disposition of our assets. By understanding the best community use of the property, the shelter and finance potential of the property, and the operating cost and performance profile of each property, the Richland Housing Authority will be able to make decisions about how to use our property to best serve the needs of our community, residents, and agency. Our system of analysis will include these steps.

STEP ONE—DETERMINE THE TARGET POPULATION FOR THE PROPERTY

Given the community's housing needs as articulated in the consolidated Plan for our jurisdiction, what are the greatest housing needs in our community? What populations are not being adequately served by the private market? We will review demographics and waiting list information to make these decisions. Depending on the property and the composition of the community we can target working families, the elderly, the frail elderly, people with disabilities, or families needing supportive services.

STEP TWO—DETERMINE IF THE PROPERTIES ARE ABLE TO SERVE THE IDENTIFIED NEED.

There are three aspects to this point – are there enough units to serve the need, are those units physically and structurally sound, and do the units include the amenities required to compete successfully for residents?

If there is an unmet need, the Richland Housing Authority may seek development partners or attempt to acquire additional units to meet the need.

There is one other possible situation: It is possible that there are more units available than are required to accommodate the target population.

STEP THREE—COMPARE THE OPERATING COST TO THE POTENTIAL INCOME.

Regardless of the need for the housing, it must be financially feasible to operate a property. If the Richland Housing Authority has determined that a property can produce enough income to sustain itself, the use of the property for the targeted use will proceed. If a property cannot produce enough income to sustain itself and there is a need for the housing, we may decide to seek additional support from other properties in the portfolio or elsewhere in the community. This is reasonable if, in our opinion and the community's, there is great social value in operating the property.

STEP FOUR—DETERMINE THE ABILITY OF THE PROPERTY TO GENERATE ADEQUATE FUNDS FOR AN OPERATING RESERVE

An additional aspect of a property's ability to sustain itself financially is its ability to generate enough funds not only to pay its operating costs, but also to contribute to a replacement reserve. The Richland Housing Authority

cannot estimate the need for an operating reserve until the rules for the new capital and operating funds have been finalized, but we do intend to continue our current practice of funding operating reserves.

In summary, the Richland Housing Authority intends to move towards a more market-driven, private-oriented management system while retaining our responsibility to both our residents and the taxpayers.

Consolidated Plan Certification

HOUSING AUTHORITY OF THE CITY OF RICHLAND

ADMINISTRATIVE PLAN

FOR THE

SECTION 8 CERTIFICATE AND VOUCHER PROGRAMS

Approved by the Board of Commissioners

December 16, 1997

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GLOSSARY

A. ACRONYMS USED IN SUBSIDIZED HOUSING

AAF	Annual Adjustment Factor. A factor published by HUD in the Federal Register that is used to compute annual rent adjustments.
ACC	Annual Contributions Contract
BR	Bedroom
CDBG	Community Development Block Grant
CFP	Certificate of Family Participation
CFR	Code of Federal Regulations. Commonly referred to as “the regulations”. The CFR is the compilation of Federal rules which are first published in the Federal Register and define and implement a statute.
CPI	Consumer Price Index. CPI is published monthly by the Department of Labor as an inflation indicator.
CR	Contract Rent.
FDIC	Federal Deposit Insurance Corporation
FHA	Federal Housing Administration
FICA	Federal Insurance Contributions Act - Social Security Taxes
FmHA	Farmer’s Home Administration
FMR	Fair Market Rent
FY	Fiscal Year
FYE	Fiscal Year End
GAO	Government Accounting Office
GFC	Gross Family Contribution. Note: Has been replaced by the term Total Tenant Payment (TTP).
GR	Gross Rent
HA	Housing Agency

HAP	Housing Assistance Payment
HAP Plan	Housing Assistance Plan
HCDA	Housing and Community Development Act
HQS	Housing Quality Standards
HUD	Department of Housing and Urban Development, or its designee.
HURRA	Housing and Urban/Rural Recovery Act of 1983.
HV	Housing Voucher
IG	Inspector General
IGR	Independent Group Residence
IPA	Independent Public Accountant
IRA	Individual Retirement Account
MSA	Metropolitan Statistical Area established by the U.S. Census Bureau
PHA	Public Housing Agency
PMSA	Primary Metropolitan Statistical Area established by the U.S. Census Bureau
PS	Payment Standard
QC	Quality Control
RLA	Request for Lease Approval (see also RFLA)
RFLA	Request for Lease Approval
RFP	Request for Proposals
RRP	Rental Rehabilitation Program
SRO	Single Room Occupancy
SSMA	Standard Statistical Metropolitan Area. Note: Has been replaced by MSA.
TR	Tenant Rent
TTP	Total Tenant Payment
UA	Utility Allowance

B. GLOSSARY OF TERMS IN SUBSIDIZED HOUSING

ABSORPTION - In portability, the point at which a receiving HA stops billing the initial HA for assistance on behalf of a portability family. The receiving HA uses funds available under the receiving HA consolidated ACC.

ACC RESERVE ACCOUNT (Formerly “Project Reserve”) - Account established by HUD from amounts by which the maximum payment to the HA under the consolidated ACC (during an HA fiscal year) exceeds the amount actually approved and paid. This account is used as the source of additional payments for the program.

ADJUSTED INCOME - Annual income, less allowable HUD deductions.

ADMINISTRATIVE FEE - Fee paid by HUD to the HA for administration of the program.

ADMINISTRATIVE FEE RESERVE (Formerly “Operating Reserve”) - Account established by HA from excess administrative fee income. The administrative fee reserve must be used for housing purposes.

ADMISSION - The effective date of the first HAP contract for a family (first day of initial lease term) in a tenant-based program. This is the point when the family becomes a participant in the program.

ANNUAL CONTRIBUTIONS CONTRACT (ACC) - A written contract between HUD and an HA. Under the contract HUD agrees to provide funding for operation of the program, and the HA agrees to comply with HUD requirements for the program.

ANNUAL INCOME - The anticipated total Annual Income of an eligible family from all sources for the 12-month period following the date of determination of income, computed in accordance with the regulations.

ANNUAL INCOME AFTER ALLOWANCES - The Annual Income (described above) less the HUD-approved allowances.

APPLICANT (or applicant family) - A family that has applied for admission to a program, but is not yet a participant in the program.

“AS-PAID” STATES - States where the welfare agency adjusts the shelter and utility component of the welfare grant in accordance with actual housing costs.

ASSETS - (See Net Family Assets.)

ASSISTED TENANT - A tenant who pays less than the market rent as defined in the regulations. Includes tenants receiving rent supplement, Rental Assistance Payments, or Section 8 assistance and all other 236 and 221(d)(3) BMIR tenants, except those paying the 236 market rent or 120% of the BMIR rent, respectively.

BUDGET AUTHORITY - An amount authorized and appropriated by the Congress for payment to HA's under the program. For each funding increment in an HA program, budget authority is the maximum amount that may be paid by HUD to the HA over the ACC term of the funding increment.

CERTIFICATE OF FAMILY PARTICIPATION - A Certificate issued by the PHA under the Section 8 Rental Assistance Program, declaring a family to be eligible for participation in this program and stating the terms and conditions for such participation.

CERTIFICATE OR VOUCHER HOLDER - A family holding a voucher or certificate with unexpired search time.

CERTIFICATE PROGRAM - Rental certificate program.

CHILD CARE EXPENSES - Amounts paid by the family for the care of minors under 13 years of age where such care is necessary to enable a family member to be employed or for a household member to further his/her education.

CONSOLIDATED ANNUAL CONTRIBUTIONS CONTRACT (Consolidated ACC) - See 24 CFR 982.151.

CONTIGUOUS MSA - In portability, an MSA that shares a common boundary with the MSA in which the jurisdiction of the initial HA is located.

CONTRACT - (See Housing Assistance Payment Contract.)

CONTRACT AUTHORITY - The maximum annual payment by HUD to an HA for a funding increment.

CONTRACT RENT - In the Section 8 Certificate Program, Contract Rent is the total rent paid to the owner, including the tenant payment and the HAP payment from the PHA.

DEPENDENT - A member of the family household (excluding foster children) other than the family head or spouse, who is under 18 years of age or is a Disabled Person or Handicapped Person, or is a full-time student 18 years of age or over.

DISABLED PERSON - A person who is any of the following:

- (1) A person who has a disability as defined in Section 223 of the Social Security Act (42 USC 423),
- (2) A person who has a physical, mental, or emotional impairment that:
 - (a) Is expected to be of long-continued and indefinite duration;
 - (b) Substantially impedes his or her ability to live independently; and
 - (c) Is of such a nature that ability to live independently could be improved by more suitable housing conditions.
- (3) A person who has a developmental disability as defined in Section 102(7) of the Developmental Disabilities Assistance and Bill of Rights Act (42 USC 6001(7)).

DISPLACED PERSON - A person displaced by governmental action, or a person whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized under Federal disaster relief laws.

DOMICILE - The legal resident of the household head or spouse as determined in accordance with State and local law.

DRUG RELATED CRIMINAL ACTIVITY - Means:

- (1) Drug-trafficking; or
- (2) Illegal use, or possession for personal use of a controlled substance (as defined in Section 102 of the Controlled Substances Act (21 USC 802)).

DRUG TRAFFICKING - The illegal manufacture, sale, distribution, use, or possession with intent to manufacture, sell, distribute or use, of a controlled substance (as defined in Section 102 of the Controlled Substances Act (21 USC 802)).

ELDERLY HOUSEHOLD - A family whose head or spouse or whose sole member is at least 62 years of age or a Disabled Person as defined in this section or a Handicapped Person as defined in this section or may include two or more elderly, disabled or handicapped persons living together or one or more such persons living with another person who is determined to be essential to his/her care and well-being.

ELDERLY PERSON - A person who is at least 62 years old.

ELIGIBILITY INCOME - May 10, 1984, regulations deleted Eligibility Income, per se, because Annual Income is now for eligibility determination to compare to income limits.

ELIGIBLE FAMILY (Family) - A family is defined by the HA in the administrative Plan, which is approved by HUD.

EXCEPTIONAL MEDICAL OR OTHER EXPENSES - Prior to the regulation change in 1982, this meant medical and/or unusual expenses as defined in Part 889 which exceeded 25% of the Annual Income. It is no longer used.

EXCEPTION RENT - In the certificate program an initial rent (contract rent plus any utility allowance) in excess of the published FMR. In the certificate program the exception rent is approved by HUD, or the HA under prescribed conditions, and is used in determining the initial contract rent. In the voucher program the HA may adopt a payment standard up to the exception rent limit approved by HUD for the HA certificate program.

EXCESS MEDICAL EXPENSES - Any medical expenses incurred by elderly families only in excess of 3% of Annual Income which are not reimbursable from any other source.

FAIR MARKET RENT (FMR) - The rent including the cost of utilities (except telephone) that would be required to be paid in the housing market area to obtain privately owned existing decent, safe and sanitary rental housing of modest (non-luxury) nature with suitable amenities. Fair market rents for existing housing are established by HUD for housing units of varying sizes (number of bedrooms) and are published in the **Federal Register** in accordance with 24 CFR 888.

FAMILY - The applicant must qualify as a family as defined by the HA.

FAMILY OF VETERAN OR SERVICEPERSON - A family is a “family of veteran or serviceperson” when:

- (1) The veteran or serviceperson (a) is either the head of household or is related to the head of the household; or (b) is deceased and was related to the head of the household, and was a family member at the time of death.
- (2) The veteran or serviceperson, unless deceased, is living with the family or is only temporarily absent unless he/she was (a) formerly the head of the household and is permanently absent because of hospitalization, separation, or desertion, or is divorced; provided, the family contains one or more persons for whose support he/she is legally responsible and the spouse has not remarried; or (b) not the head of the household but is permanently hospitalized; provided, that he/she was a family member at the time of hospitalization and there remain in the family at least two related persons.

FAMILY SELF-SUFFICIENCY PROGRAM (FSS Program) - The program established by an HA to promote self-sufficiency of assisted families, including the provision of supportive services.

FEDERAL PREFERENCE - A preference under Federal law for admission of applicant families that are any of the following:

- (1) Involuntarily displaced,
- (2) Living in substandard housing (including families that are homeless or living in a shelter for the homeless),
or
- (3) Paying more than 50% of family income for rent.

FEDERAL PREFERENCE HOLDER - An applicant that qualifies for a Federal preference.

FMR/EXCEPTION RENT LIMIT - The Section 8 existing housing fair market rent published by HUD headquarters or any exception rent. In the certificate program the initial contract rent for a dwelling unit plus any utility allowance may not exceed the FMR/exception rent limit (for the dwelling unit or for the family unit size). In the voucher program the HA may adopt a payment standard up to the FMR/exception rent limit.

FOSTER CHILD CARE PAYMENT - Payment to eligible households by State, local, or private agencies appointed by the State, to administer payments for the care of foster children.

FULL-TIME STUDENT - A person who is carrying a subject load that is considered full-time for day students under the standards and practices of the educational institution attended. An educational institution includes a vocational school with a diploma or certificate program, as well as an institution offering a college degree.

FUNDING INCREMENT - Each commitment of budget authority by HUD to an HA under the consolidated annual contributions contract for the HA program.

GROSS FAMILY CONTRIBUTION - Changed to Total Tenant Payment (TTP).

GROSS RENT - The sum of the Contract Rent and the utility allowance. If there is no utility allowance, Contract rent equals Gross Rent.

HANDICAP ASSISTANCE - Anticipated costs for care attendants and auxiliary apparatus for handicapped or disabled family members which enable a family member (including the handicapped family member) to work.

HANDICAPPED PERSON (Referred to as a Person with a Disability) - A person having a physical or mental impairment which:

- (1) Is expected to be of long-continued and indefinite duration;
- (2) Substantially impedes his or her ability to live independently; and
- (3) Is of such a nature that such ability could be improved by more suitable housing conditions.

HAP CONTRACT - See Housing Assistance Payments contract.

HARD-TO-HOUSE FAMILY -

HEAD OF HOUSEHOLD - The head of household is the person who assumes legal and financial responsibility for the household and is listed on the application as head.

HOUSING AGENCY - A State, county, municipality or other governmental entity or public body authorized to administer the program. The "HA" includes an Indian housing authority (IHA). (PHA and HA mean the same thing.)

HOUSING AND COMMUNITY DEVELOPMENT ACT OF 1974 - Act in which the U.S. Housing Act of 1937 (sometimes referred to as the "Act") was recodified, and which added the Section 8 programs.

HOUSING ASSISTANCE PAYMENT - The monthly assistance payment by an HA. The total assistance payment consists of:

- (1) A payment of the owner for rent to owner under the family's lease.
- (2) An additional payment to the family if the total assistance payment exceeds the rent to the owner. The additional payment is called a "utility reimbursement" payment.

HOUSING ASSISTANCE PAYMENTS CONTRACT (HAP Contract) - A written contract between an HA and an owner in the form prescribed by HUD headquarters, in which the HA agrees to make housing assistance payments to the owner on behalf of an eligible family.

HOUSING ASSISTANCE PLAN - (1) A Housing Assistance Plan submitted by a local government participating in the Community Development Block Program as part of the block grant application, in accordance with the requirements of 570.303(c) submitted by a local government not participating in the Community Development Block Grant Program and approved by HUD. (2) A Housing Assistance Plan

meeting the requirements of 570.303(c) submitted by a local government not participating in the Community Development Block Grant Program and approved by HUD.

HOUSING QUALITY STANDARDS (HQS) - The HUD minimum quality standards for housing assisted under the tenant-based programs.

HUD REQUIREMENTS - HUD requirements for the Section 8 programs. HUD requirements are issued by HUD headquarters as regulations. Federal Register notices or other binding program directives.

HURRA - The Housing and Urban/Rural Recovery Act of 1983 legislation that resulted in most of the 1984 HUD Regulation changes to the definition of income, allowances, and rent calculations.

IMPUTED ASSET - Asset disposed of for less than Fair Market Value during two years preceding examination or reexamination.

IMPUTED INCOME - HUD passbook rate multiplied by total cash value of assets. Calculation used when assets exceed \$5,000.

INCOME - Income from all sources of each member of the household as determined in accordance with criteria established by HUD.

INCOME FOR ELIGIBILITY - Annual Income.

INDIAN - Any person recognized as an Indian or Alaska Native by an Indian Tribe, the Federal government, or any State.

INDIAN HOUSING AUTHORITY (IHA) - A housing agency established either:

- (1) By exercise of the power of self-government of an Indian Tribe, independent of State law, or
- (2) By operation of State law providing specifically for housing authorities for Indians.

INTEREST REDUCTION SUBSIDIES - The monthly payments or discounts made by HUD to reduce the debt service payments and, hence, rents required on Section 236 and 221(d)(3) BMIR projects. Includes monthly interest reduction payments made to mortgagees of Section 236 projects and front-end loan discounts paid on BMIR projects.

INVOLUNTARILY DISPLACED PERSON - Involuntarily Displaced Applicants are applicants who meet the HUD definition for the Federal preference.

LANDLORD - This term means either the owner of the property or his/her representative or the managing agent or his/her representative, as shall be designated by the owner.

LEASE - A written agreement between an owner and an eligible family for the leasing of a housing unit. (The Section 8 Certificate and Voucher program have an Addendum to Lease that has mandatory language which must be incorporated into any lease the HA uses. The Addenda are different for the Certificate and Voucher Programs.)

LIVE-IN AIDE - A person who resides with an elderly person or disabled person and who:

- (1) Is determined to be essential to the care and well-being of the person,
- (2) Is not obligated for the support of the person, and
- (3) Would not be living in the unit except to provide necessary supportive services.

LOCAL PREFERENCE - A preference used by the HA to select among applicant families without regard to their Federal preference status.

LOW-INCOME FAMILY - A family whose annual income does not exceed 80% of the median income for the area, as determined by HUD, with adjustments for smaller and larger families. For admission to the

certificate program, HUD may establish income limits higher or lower than 80% of the median income for the area on the basis of its finding that such variations are necessary because of the prevailing levels of construction costs or unusually high or low family incomes.

MARKET RENT - The rent HUD authorizes the owner of FHA insured/subsidized multi-family housing to collect from families ineligible for assistance. For unsubsidized units in an FHA-insured multi-family project in which a portion of the total units receive project-based rental assistance, under the Rental Supplement or Section 202/Section 8 Programs, the Market Rate Rent is that rent approved by HUD and is the Contract Rent for a Section 8 Certificate holder. For BMIR units, Market Rent varies by whether the project is a rental or cooperative.

MEDICAL EXPENSES - Those total medical expenses, including medical insurance premiums, that are anticipated during the period for which Annual Income is computed, and that are not covered by insurance. A deduction for Elderly Households only. These allowances are given when calculating adjusted income for medical expenses in excess of 3% of Annual Income.

MINOR - A member of the family household (excluding foster children) other than the family head or spouse who is under 18 years of age.

MONTHLY ADJUSTED INCOME - $1/12^{\text{th}}$ of the Annual Income after Allowances or Adjusted Income.

MONTHLY INCOME - $1/12^{\text{th}}$ of the Annual Income.

NEGATIVE RENT - Now called Utility Reimbursement. A negative Tenant Rent results in a Utility Reimbursement Payment (URP).

NET FAMILY ASSETS - Value of equity in savings, checking, IRA and Keogh accounts, real property, stocks, bonds, and other forms of capital investment. The value of necessary items of personal property such as furniture and automobiles is excluded from the definition.

NET FAMILY CONTRIBUTION - Former name for Tenant Rent.

OCCUPANCY STANDARDS (Now referred to as Subsidy Standards) - Standards established by an HA to determine the appropriate number of bedrooms for families of different sizes and compositions.

OWNER - Any person(s) or entity having the legal right to lease or sublease housing.

PARTICIPANT - A family that has been admitted to the HA's certificate program or voucher program. The family becomes a participant on the effective date of the first HAP contract executed by the HA for the family (first day of initial lease term).

PAYMENT STANDARD - The amount used to calculate the housing assistance a family will receive in the HA's Housing Voucher Program.

PUBLIC ASSISTANCE - Welfare or other payments to families or individuals, based on need, which are made under programs funded, separately or jointly, by Federal, State, or local governments.

PUBLIC HOUSING AGENCY (PHA) - A State, county, municipality, or other governmental entity or public body authorized to administer the programs. The term "PHA" includes an Indian Housing Authority (IHA). ("PHA" and "HA" mean the same thing.) In this rule, a "PHA" is referred to as a "housing agency" (HA).

RANKING PREFERENCE - A preference used by the HA to select among applicant families that qualify for Federal preference.

RECERTIFICATION - Sometimes called reexamination. The process of securing documentation of total family income used to determine the rent the tenant will pay for the next 12 months if there are no additional changes to be reported. There are annual and interim recertifications.

REMAINING MEMBER OF TENANT FAMILY - Person left in assisted housing after other family members have left and become unassisted.

RENT TO OWNER - This is called Contract Rent in the Certificate Program and Rent to Owner in the Voucher Program. It is the total amount of rent payable to the owner by the family and the HA per month for an assisted unit.

RESIDENT ASSISTANT - A person who lives in an Independent Group Residence and provides on a daily basis some or all of the necessary services to elderly, handicapped, and disabled individuals receiving Section 8 housing assistance and who is essential to these individuals' care or well-being. A Resident Assistant shall not be related by blood, marriage or operation of law to individuals receiving Section 8 assistance nor contribute to a portion of his/her income or resources towards the expenses of these individuals. (See Sections 882.109(n), 882.106(c), and 882.102 definitions in Appendix 1 of 7420.7.)

SECRETARY - The Secretary of Housing and Urban Development.

SECURITY DEPOSIT - A dollar amount which can be applied to unpaid rent, damages, or other amounts to the owner under the lease.

SERVICEPERSON - A person in the active military or naval service (including the active reserve) of the United States.

SINGLE PERSON - A person living alone or intending to live alone.

SPOUSE - The husband or wife of the head of the household.

SUBSIDIZED PROJECT - A multi-family housing project (except for a project owned by a cooperative housing mortgage corporation or association) which receives the benefit of subsidy as:

- (1) Below-market interest rates pursuant to Section 221(d)(3) and (5) or interest reduction payments pursuant to Section 236 of the National Housing Act; or
- (2) Rent supplement payments under Section 101 of the Housing and Urban Development Act of 1965; or
- (3) Direct loans pursuant to Section 202 of the Housing Act of 1959; or
- (4) Payments under the Section 23 Housing Assistance Payments Program pursuant to Section 23 of the United States Housing Act of 1937 prior to amendment by the Housing and Community Development Act of 1974; or
- (5) Payments under the Section 8 Housing Assistance Payments Program pursuant to Section 8 of the United States Housing Act after amendment by the Housing and Community Development Act unless the project is owned by a Public Housing Agency; or
- (6) A Public Housing Project.

SUBSTANDARD UNIT - Substandard housing is defined by HUD for use as a Federal preference.

TENANT RENT (Formerly called Net Family Contribution) - The amount payable monthly by the family as rent to the owner (including a PHA in other programs). Where all utilities (except telephone) and other essential housing services are supplied by the owner, Tenant Rent equals Total Tenant Payment. Where some of all utilities (except telephone) and other essential housing services are not supplied by the owner and the cost thereof is not included in the amount paid as rent to the owner, Tenant Rent equals Total Tenant Payment less the Utility Allowance in the Certificate Program. In the Voucher Program, Tenant Rent is Rent to Owner less HAP.

TOTAL TENANT PAYMENT (TTP) - The total amount the HUD rent formula requires the tenant to pay toward rent and utilities.

UNIT - Residential space for the private use of a family.

UNUSUAL EXPENSES - Prior to the change in the 1982 regulations, this was the term applied to the amounts paid by the family for the care of minors under 13 years of age or for the care of disabled or handicapped family household members, but only where such care was necessary to enable a family member to be gainfully employed.

UTILITIES - Utilities means water, electricity, gas, other heating, refrigeration, cooking fuels, trash collection and sewage services. Telephone service is not included as a utility.

UTILITY ALLOWANCE - If the cost of utilities (except telephone) including range and refrigerator, and other housing services for an assisted unit is not included in the Contract Rent but is the responsibility of the family occupying the unit, an amount equal to the estimate made or approved by a PHA or HUD of a reasonable consumption of such utilities and other services for the unit by an energy conservative household of modest circumstances consistent with the requirements of a safe, sanitary, and healthy living environment.

UTILITY REIMBURSEMENT PAYMENT - The amount, if any, by which the Utility Allowance for the unit, if applicable, exceeds the Total Tenant Payment for the family occupying the unit.

VACANCY LOSS PAYMENTS(For contracts effective prior to 10/2/95) - When a family vacates its unit in violation of its lease, the owner is eligible for 80% of the Contract Rent for a vacancy period of up to one additional month (beyond the month in which the vacancy occurred), if he/she notifies the PHA when he/she learns of the vacancy, makes an effort to advertise the unit, and does not reject any eligible applicant except for good cause.

VERY-LOW INCOME FAMILY - A lower-Income Family whose Annual Income does not exceed 50% of the median income for the area, as determined by HUD, with adjustments for smaller and larger families. HUD may establish income limits higher or lower than 50% of the median income for the area on the basis of its finding that such variations are necessary because of unusually high or low family incomes. This is the income limit for the Certificate and Voucher Programs.

VETERAN - A person who has served in the active military or naval service of the United States at any time and who shall have been discharged or released therefrom under conditions other than dishonorable.

WAITING LIST - A list of families organized according to HUD regulations and HA policy who are waiting for subsidy to become available.

WELFARE ASSISTANCE - Welfare or other payments to families or individuals, based on need, that are made under programs funded, separately or jointly, by Federal, State, or local governments.

WELFARE RENT - This concept is used ONLY for Section 8 Certificate tenants who receive welfare assistance on an "AS-PAID" basis. It is not used for the Housing Voucher Program.

- (1) If the agency does NOT apply a ratable reduction, this is the maximum a public assistance agency COULD give a family for shelter and utilities, NOT the amount the family is receiving at the time the certification or recertification is being processed.
- (2) If the agency applies a ratable reduction, welfare rent is a percentage of the maximum the agency could allow.

C. GLOSSARY OF TERMS USED IN THE NON-CITIZENS RULE

CHILD - A member of the family other than the family head or spouse who is under 18 years of age.

CITIZEN - A citizen or national of the United States.

EVIDENCE - Evidence of citizenship or eligible immigration status means the documents which must be submitted to evidence citizenship or eligible immigration status.

HA - A housing authority, either a public housing agency or an Indian housing authority, or both.

HEAD OF HOUSEHOLD - The adult member of the family who is the head of the household for purpose of determining income eligibility and rent.

HUD - Department of Housing and Urban Development.

INS - The U.S. Immigration and Naturalization Service.

MIXED FAMILY - A family whose members include those with citizenship or eligible immigration status and those without citizenship or eligible immigration status.

NATIONAL - A person who owes permanent allegiance to the United States, for example, as a result of birth in a United States territory or possession.

NON-CITIZEN - A person who is neither a citizen nor national of the United States.

PHA - A housing authority who operates Public Housing, and who is incorporated with the State as a non-profit Public Housing Authority.

RESPONSIBLE ENTITY - The person or entity responsible for administering the restrictions on providing assistance to non-citizens with ineligible immigration status (the HA).

SECTION 214 - Section 214 restricts HUD from making financial assistance available for non-citizens unless they meet one of the categories of eligible immigration status specified in Section 214.

SPOUSE - Spouse refers to the marriage partner, either a husband or wife, who is someone you need to divorce in order to dissolve the relationship. It includes the partner in a common-law marriage. It does not cover boyfriends, girlfriends, significant others, or “co-heads.” “Co-head” is a term recognized by some HUD programs, but not by public and Indian housing programs.

PROGRAM INTEGRITY ADDENDUM

INTRODUCTION

The U.S. Department of HUD conservatively estimates that 200 million dollars is paid annually to program participants who falsify or omit material facts in order to gain more rental assistance than they are entitled to under the law. HUD further estimates that 12% of all HUD-assisted families are either totally ineligible, or are receiving benefits which exceed their legal entitlement.

The HA is committed to assuring that the proper level of benefits is paid to all participating families, and that housing resources reach only income-eligible families so that program integrity can be maintained.

The HA will take all steps necessary to prevent fraud, waste, and mismanagement so that program resources are utilized judiciously.

This Chapter outlines the HA's policies for the prevention, detection and investigation of program abuse and fraud.

A. CRITERIA FOR INVESTIGATION OF SUSPECTED ABUSE AND FRAUD

Under no circumstances will the HA undertake an inquiry or an audit of a participating family arbitrarily. The HA's expectation is that participating families will comply with HUD requirements, provisions of the certificate or voucher, and other program rules. The HA staff will make every effort (formally and informally) to orient and educate all families in order to avoid unintentional violations. However, the HA has a responsibility to HUD, to the Community, and to eligible families in need of housing assistance, to monitor participants and owners for compliance and, when indicators of possible abuse come to the HA's attention, to investigate such claims.

The HA will initiate an investigation of a participating family only in the event of one or more of the following circumstances:

1. **Referrals, Complaints, or Tips** - The HA will follow up on referrals from other agencies, companies or persons which are received by mail, by telephone or in person, which allege that a family is in non-compliance with, or otherwise violating the family obligations or any other program rules. Such follow-up will be made providing that the referral contains at least one item of information that is independently verifiable. A copy of the allegation will be retained in the family's file.
2. **Internal File Review** - A follow-up will be made if HA staff discovers (as a function of a certification or recertification, an interim redetermination, or a quality control review), information or facts which conflict with previous file data, the HA's knowledge of the family, or is discrepant with statements made by the family.
3. **Verification of Documentation** - A follow-up will be made if the HA receives independent verification or documentation which conflicts with representations in the family's file (such as public record information or credit bureau reports, reports from other agencies).

B. STEPS THE HA WILL TAKE TO PREVENT PROGRAM ABUSE AND FRAUD

The HA management and staff will utilize various methods and practices (listed below) to prevent program abuse, non-compliance, and willful violations of program rules by applicants and participating families. This policy objective is to establish confidence and trust in the management by emphasizing education as the primary means to obtain compliance by families.

1. **Things You Should Know** - This program integrity bulletin (created by HUD's Inspector General) will be furnished and explained to all applicants to promote understanding of program rules, and to clarify the HA's expectations for cooperation and compliance.
2. **Program Orientation Session** - Mandatory orientation sessions will be conducted by the HA staff for all prospective program participants, either prior to or upon issuance of a certificate or voucher. At the conclusion of all Program Orientation Sessions, the family representative will be required to sign a "Program Briefing Certificate" to confirm that all rules and pertinent regulations were explained to them.
3. **Resident Counseling** - The HA will routinely provide participant counseling as a part of every recertification interview in order to clarify any confusion pertaining to program rules and requirements.
4. **Review and Explanation of Forms** - Staff will explain all required forms and review the content of all (re)certification documents prior to signature.
5. **Use of Instructive Signs and Warnings** - Instructive signs will be conspicuously posted in common areas and interview areas to reinforce compliance with program rules and to warn about penalties for fraud and abuse.
6. **Participant Certification** - All family representatives will be required to sign a "Participant Certification" form, as contained in HUD's Participant Integrity Program Manual.

C. STEPS THE HA WILL TAKE TO DETECT PROGRAM ABUSE AND FRAUD

The HA staff will maintain a high level of awareness to indicators of possible abuse and fraud by assisted families.

1. **Quality Control File Reviews** - Prior to initial certification, and at the completion of all subsequent recertifications, each participant file will be reviewed. Such reviews shall include, but are not limited to:
 - Assurance that verification of all income and deductions is present.
 - Changes in reported Social Security Numbers or dates of birth.
 - Authenticity of file documents.
 - Ratio between reported income and expenditures.
 - Review of signatures for consistency with previously signed file documents.
 - All forms are correctly dated and signed.
2. **Observation** - The HA Management and Occupancy Staff (to include inspection personnel) will maintain high awareness of circumstances which may indicate program abuse or fraud, such as unauthorized persons residing in the household and unreported income. Observations will be documented in the family's file.
3. **Public Record Bulletins** - may be reviewed by Management and Staff.
4. **State Wage Data Record Keepers** - Inquiries to State Wage and Employment record keeping agencies as authorized under Public Law 100-628, the Stewart B. McKinley Homeless Assistance Amendments Act of 1988, may be made annually in order to detect unreported wages or unemployment compensation benefits.
5. **Credit Bureau Inquiries** - Credit Bureau inquiries may be made (with proper authorization by the participant) in the following circumstances:

- At the time of final eligibility determination.
- When an allegation is received by the HA wherein unreported income sources are disclosed.
- When a participant's expenditures exceed his/her reported income, and no plausible explanation is given.

D. THE HA'S HANDLING OF ALLEGATIONS OF POSSIBLE ABUSE AND FRAUD

The HA staff will encourage all participating families to report suspected abuse to the Housing Department or to the Housing Authority telephone complaint line. All such referrals, as well as referrals from community members and other agencies, will be thoroughly documented and placed in the participant's file. All allegations, complaints and tips will be carefully evaluated in order to determine if they warrant follow-up. The Housing Manager will not follow up on allegations which are vague or otherwise non-specific. They will only review allegations which contain one or more independently verifiable facts.

1. **File Review** - An internal file review will be conducted to determine:
 - If the subject of the allegation is a client of the HA and, if so, to determine whether or not the information reported has been previously disclosed by the family.It will then be determined if the HA is the most appropriate authority to do a follow-up (more so than police or social services). Any file documentation of past behavior as well as corroborating complaints will be evaluated.
2. **Conclusion of Preliminary Review** - If at the conclusion of the preliminary file review there is/are fact(s) contained in the allegation which conflict with file data, and the fact(s) are independently verifiable, the Executive Director will initiate an investigation to determine if the allegation is true or false.

E. HOW THE HA WILL INVESTIGATE ALLEGATIONS OF ABUSE AND FRAUD

If the HA determines that an allegation or referral warrants follow-up, either the staff person who is responsible for the file, or a person designated by the Executive Director to monitor the program compliance will conduct the investigation. The steps taken will depend upon the nature of the allegation and may include, but are not limited to, the items listed below. In all cases, the HA will secure the written authorization from the program participant for the release of information.

Credit Bureau Inquiries - In cases involving previously unreported income sources, a CBI inquiry may be made to determine if there is financial activity that conflicts with the reported income of the family.

Verification of Credit - In cases where the financial activity conflicts with file data, a *Verification of Credit* form may be mailed to the creditor in order to determine the unreported income source.

Employers and Ex-Employers - Employers or ex-employers may be contacted to verify wages which may have been previously undisclosed or misreported.

Neighbor/Witnesses - Neighbors and/or other witnesses may be interviewed who are believed to have direct or indirect knowledge of facts pertaining to the HA's review.

Other Agencies - Investigators, case workers, or representatives of other benefit agencies may be contacted.

Public Records - If relevant, the HA will review public records kept in any jurisdictional courthouse. Examples of public records which may be checked are: real estate, marriage, divorce, uniform commercial code financing statements, voter registration, judgments, court or police records, state wage records, utility records, and postal records.

Interviews with Head of Household or Family Members - The HA will discuss the allegation (or details thereof) with the Head of Household or family member by scheduling an appointment at the appropriate HA office. A high standard of courtesy and professionalism will be maintained by the HA staff person who conducts such interviews. Under no circumstances will inflammatory language, accusation, or an unprofessional conduct or language be tolerated by the management. If possible, an additional staff person will attend such interviews.

F. PLACEMENT OF DOCUMENTS, EVIDENCE, AND STATEMENTS OBTAINED BY THE HA

Documents and other evidence obtained by the HA during the course of an investigation will be considered “work product” and will either be kept in the participant’s file, or in a separate “work file.” In either case, the participant’s file or work file shall be kept in a locked file cabinet. Such cases under review will not be discussed among HA staff unless they are involved in the process, or have information which may assist in the investigation.

G. CONCLUSION OF THE HA’S INVESTIGATIVE REVIEW

At the conclusion of the investigative review, the reviewer will report the findings to the Executive Director or designee. It will then be determined whether a violation has occurred, a violation has not occurred, or if the facts are inconclusive.

H. EVALUATION OF THE FINDINGS

If it is determined that a program violation has occurred, the HA will review the facts to determine:

1. The type of violation (procedural, non-compliance, fraud).
2. Whether the violation was intentional or unintentional.
3. What amount of money (if any) is owed by the family.
4. If the family is eligible for continued occupancy.

I. ACTION PROCEDURES FOR VIOLATIONS WHICH HAVE BEEN DOCUMENTED

Once a program violation has been documented, the HA will propose the most appropriate remedy based upon the type and severity of the violation.

1. **Procedural Non-Compliance** - This category applies when the family “fails to” observe a procedure or requirement of the HA, but does not misrepresent a material fact, and there is no retroactive assistance payments owed by the family.

Examples of non-compliance violations are:

- Failure to appear at a pre-scheduled appointment.
- Failure to return verification in time period specified by the HA.

- (a) **Warning Notice to the Family** - In such cases a notice will be sent to the family which contains the following:
 - A description of the non-compliance and the procedure, policy, or obligation which was violated.
 - The date by which the violation must be corrected, or the procedure complied with.
 - The action which will be taken by the HA if the procedure or obligation is not complied with by the date specified by the HA.
 - The consequences of repeated (similar) violations.
- 2. **Procedural Non-Compliance - Overpaid Assistance** - When the family owes money to the HA for failure to report changes in income or assets, the HA will issue a Notification of Overpayment of Assistance. This Notice will contain the following:
 - A description of the violation and the date(s).
 - Any amounts owed to the HA.
 - A ten-day response period.
 - The right to disagree and to request an informal hearing with instructions for the request of such hearing.
- HA's (a) **Participant Fails to Comply with HA's Notice** - If the Participant fails to comply with the notice, and a family obligation has been violated, the HA will initiate termination of assistance.
- (b) **Participant Complies with HA's Notice** - When a family complies with the HA's notice, the staff person responsible will meet with him/her to discuss and explain the Family Obligation or program rule which was violated. The staff person will complete a Participant Counseling Report, give one copy to the family and retain a copy in the family's file.
- 3. **Intentional Misrepresentations** - When a participant falsifies, misstates, omits, or otherwise misrepresents a material fact which results (or would have resulted) in an overpayment of housing assistance by the HA, the HA will evaluate whether or not:
 - the participant had knowledge that his/her actions were wrong, and
 - the participant willfully violated the family obligations or the law.

Knowledge That the Action or Inaction Was Wrong - This will be evaluated by determining if the participant was made aware of program requirements and prohibitions. The participant's signature on various certification, briefing certificate, Personal Declaration, and Things You Should Know are adequate to establish knowledge of wrong-doing.

The Participant Willfully Violated the Law - Any of the following circumstances will be considered adequate to demonstrate willful intent:

 - (a) An admission by the participant of the misrepresentation.
 - (b) That the act was done repeatedly.
 - (c) If a false name or Social Security Number was used.
 - (d) If there were admissions to others of the illegal action or omission.
 - (e) That the participant omitted material facts which were known to him/her (e.g., employment of self or other household member).
 - (f) That the participant falsified, forged or altered documents.
 - (g) That the participant uttered and certified to statements at a interim (re)determination which were later independently verified to be false.
- 4. **Dispositions of Cases Involving Misrepresentations** - In all cases of misrepresentations involving efforts to recover monies owed, the HA may pursue, depending upon its evaluation of the criteria stated above, one or more of the following actions:
 - (a) **Criminal Prosecution** - If the HA has established criminal intent, and the case meets the criteria for prosecution, the HA will:
 - Refer the case to the local State or District Attorney, notify HUD's RIGI, and terminate rental assistance.
 - (b) **Administrative Remedies** - The HA will:

- Continue assistance at the correct level upon repayment of restitution in full within 30 days.
- Terminate assistance and demand payment of restitution in full.
- Terminate assistance and execute an administrative repayment agreement in accordance with the HA's Repayment Policy.
- Terminate assistance and pursue restitution through civil litigation.
- Permit continued assistance at the correct level and execute an administrative repayment agreement in accordance with the HA's repayment policy.

5. **The Case Conference for Serious Violations and Misrepresentations** - When the HA has established that material misrepresentation(s) have occurred, a Case Conference will be scheduled with the family representative and the HA staff person who is most knowledgeable about the circumstances of the case.

This conference will take place prior to any proposed action by the HA. The purpose of such conference is to review the information and evidence obtained by the HA with the participant, and to provide the participant an opportunity to explain any document findings which conflict with representations in the family's file. Any documents or mitigating circumstances presented by the family will be taken into consideration by the HA. The family will be given ten days to furnish any mitigating evidence.

A secondary purpose of the Participant Conference is to assist the HA in determining the course of action most appropriate for the case. Prior to the final determination of the proposed action, the HA will consider:

- The duration of the violation and number of false statements.
- The family's ability to understand the rules.
- The family's willingness to cooperate, and to accept responsibility for his/her actions.
- The amount of money involved.
- The family's past history.
- Whether or not criminal intent has been established.
- The number of false statements.

6. **Notification to Participant of Proposed Action** - The HA will notify the family of the proposed action no later than ten days after the case conference by certified mail.

Chapter 1

STATEMENT OF POLICIES AND OBJECTIVES

INTRODUCTION

The Section 8 Program was enacted as part of the Housing and Community Development Act of 1974, which recodified the U.S. Housing Act of 1937. The Act has been amended from time to time, and its requirements, as they apply to the Section 8 Certificate and Voucher Programs, are described in and implemented through this Administrative Plan.

Administration of the Section 8 Program and the functions and responsibilities of the Housing Authority (HA) staff shall be in compliance with the HA's Personnel Policy and the Department of Housing and Urban Development's (HUD) Section 8 Regulations as well as all Federal, State, and local Fair Housing Laws and Regulations.

A. LOCAL OBJECTIVES

The Section 8 Program is designed to achieve three major objectives:

1. To provide decent, safe, and sanitary housing for very low income families while maintaining their rent payments at an affordable level.
2. To promote freedom of housing choice and spatial deconcentration of very low income families of all races and ethnic backgrounds.
3. To provide an incentive to private property owners to rent to very low income families by offering timely assistance payments.

In addition, the HA has the following goals for the program:

1. To assist the local economy by increasing the occupancy rate and the amount of money flowing to the community.
2. To encourage self-sufficiency of participant families.

B. PURPOSE OF THE PLAN

The purpose of the Administrative Plan is to establish policies for carrying out the programs in a manner consistent with HUD requirements and local objectives. The Plan covers both admission and continued participation in these programs. Policies are the same for both programs unless otherwise noted.

The HA is responsible for complying with all changes in HUD regulations pertaining to these programs. If such changes conflict with this Plan, HUD regulations will have precedence. The original Plan and any changes must be approved by the Board of Commissioners of the agency and a copy provided to HUD.

C. FAIR HOUSING POLICY [24 CFR 982.54(d)(6)]

It is the policy of the HA to comply fully with all Federal, State, and local nondiscrimination laws and with the rules and regulations governing Fair Housing and Equal Opportunity in housing and employment.

The HA shall not deny any family or individual the opportunity to apply for or receive assistance under the Section 8 Programs on the basis of race, color, sex, religion, creed, national or ethnic origin, age, family or marital status, handicap or disability, or sexual orientation.

To further its commitment to full compliance with applicable Civil Rights laws, the HA will provide Federal/State/local information to Certificate and Voucher holders regarding “discrimination” and any recourse available to them if they are victims of discrimination. Such information will be made available during the family briefing session, and all applicable Fair Housing Information and Discrimination Complaint Forms will be made a part of the Certificate and Voucher holder’s briefing packet.

Except as otherwise provided in 24 CFR 8.21(c)(1), 8.24(a), 8.25, and 8.31, no individual with disabilities shall be denied the benefits of, be excluded from participation in, or otherwise be subjected to discrimination because the HA’s facilities are inaccessible to or unusable by persons with disabilities.

Posters and housing information are displayed in locations throughout the HA’s office in such a manner as to be easily readable from a wheelchair.

The HA’s office at 650 George Washington Way, Richland, is accessible to persons with disabilities. Accessibility for the hearing impaired is provided by the TTD/TDY telephone number.

D. SERVICE POLICY/ACCOMMODATIONS

This policy is applicable to all situations described in this Administrative Plan when a family initiates contact with the HA, when the HA initiates contact with a family including when a family applies, and when the HA schedules or reschedules appointments of any kind.

It is the policy of this HA to be service-directed in the administration of our housing programs, and to exercise and demonstrate a high level of professionalism while providing housing services to the families within our jurisdiction.

The HA’s policies and practices will be designed to provide assurances that all persons with disabilities will be provided reasonable accommodation so that they may fully access and utilize the housing program and related services. The availability of specific accommodations will be made known by including notices on HA forms and letters to all families, and all requests will be verified so that the HA can properly accommodate the need presented by the disability.

Requests for reasonable accommodation from persons with disabilities will be granted upon verification that they meet the need presented by the disability.

Reasonable accommodation will be made for persons with a disability who require an advocate or accessible offices. A designee will be allowed to provide some information, but only with the permission of the person with the disability.

All HA mailings will be made available in an accessible format upon request, as a reasonable accommodation.

Verification of a Request for Accommodation

All requests for accommodation or modification will be verified with a reliable knowledgeable, professional.

The HA utilizes organizations which provide assistance for hearing- and sight-impaired persons when needed.

E. TRANSLATIONS OF DOCUMENTS

The HA will facilitate the translation or understanding of procedures and program guidelines to assist non-English speaking families.

In determining whether it is feasible to translate documents into other languages, the HA will consider the following factors:

- Number of applicants and participants who do not speak English and speak the other language.
- Cost of translation into the other language per/client who speaks the language.
- Evaluation of the need for translation by agencies that work with the non-English speaking clients.
- The availability of organizations to translate documents, letters, and forms for non-English speaking families.
- Availability of bi-lingual staff to explain untranslated documents to clients.

F. FAMILY OUTREACH

The HA will publicize and disseminate information to make known the availability of housing assistance and related services for very low income families on a regular basis. When the HA's waiting list is open, the HA will publicize the availability and nature of housing assistance for very low income families in a newspaper of general circulation, minority media, and by other suitable means.

To reach persons who cannot read the newspapers, the HA will distribute fact sheets to the broadcasting media, and initiate personal contacts with members of the news media and community service personnel. The HA will also utilize public service announcements.

The HA will communicate the status of housing availability to other service providers in the community, advise them of housing eligibility factors and guidelines in order that they can make proper referrals for housing assistance.

G. OWNER OUTREACH [CFR 982.54(d)(5)]

The HA encourages owners of decent, safe, and sanitary housing units to lease to Section 8 families. When listings from owners are received, they will be compiled by the HA staff by bedroom size.

The staff of the HA initiates personal contact with private property owners and managers by conducting formal and informal discussions and meetings.

Printed material is offered to acquaint owners and managers with the opportunities available under the program.

H. PRIVACY RIGHTS

Applicants and participants, including all adults in their households, are required to sign the HUD 9886 Authorization for Release of Information. This document incorporates the Federal Privacy Act Statement and describes the conditions under which HUD will release family information.

The HA's policy regarding release of information is in accordance with State and local laws which may restrict the release of family information.

Any and all information which would lead one to determine the nature and/or severity of a person's disability must be kept in a separate folder and marked "confidential." The personal information in this folder must not be released except on an "as needed" basis in cases where an accommodation is under consideration. All requests for access and granting of accommodations based on this information must be approved by the Executive Director, or specific Eligibility Specialist assigned to the disabled client.

In accordance with HUD requirements, the HA will furnish prospective owners with the family's current address as shown in the HA's records and, **if known**, to the HA, the name and address of the landlord at the family's current and prior address.

If known, the HA will furnish prospective owners with information about the family's rental history, or any history of drug trafficking.

A statement of the HA's policy on release of information to prospective landlords will be included in the briefing packet which is provided to the family.

The HA's practices and procedures are designed to safeguard the privacy of applicants and program participants. All applicant and participant files will be stored in a secure location which is only accessible by authorized staff.

HA staff will not discuss family information contained in files unless there is a business reason to do so. Inappropriate discussion of family information, or improper disclosure of family information by staff will result in disciplinary action.

I. EQUAL EMPLOYMENT OPPORTUNITY

The HA practices affirmative action in hiring, promotion and conditions of employment. Position vacancies are advertised in the Tri-City Herald. All HA job postings will display the affirmative action/equal employment opportunity logo and slogan prominently. In the event the HA fails to maintain a composition and culture of its staff reflective of that of its service area, then more aggressive outreach actions will be developed.

J. RULES AND REGULATIONS

This Administrative Plan is set forth to define the HA's local policies for operation of the housing programs in the context of Federal Laws and Regulations. All issues related to Section 8 not addressed in this document are governed by such Federal Regulations, HUD Memos, Notices and Guidelines, or other applicable law.

K. JURISDICTION

The jurisdiction of the HA is the city of Richland, West Richland, and Benton City. However, an interlocal agreement between the two existing HA's in Benton and Franklin County (Richland and Pasco) allows this HA to offer Section 8 in the Pasco HA's jurisdiction.

L. MONITORING PROGRAM PERFORMANCE

Reports will be maintained for:

- Monitoring funding availability, to ensure the HA is at maximum lease-up.
- Tracking outstanding Certificates and Vouchers for expiration or suspension.
- Timeliness of annual activities.
- Numbers of failed inspections and abatements.
- Claim payments made.
- Number and reason for moves and terminations of assistance.
- Number of new certificates and vouchers issued.
- Repayment of amounts owed the HA.

In order to ensure quality control, supervisory staff audit the following functions:

- 5% of reexaminations
- 5% of the HQS inspections completed by each inspector

M. TERMINOLOGY

The HA of the City of Richland referred to as "HA" or "Housing Authority" throughout this document.

"Family" is used interchangeably with "Applicant" or "Participant" and can refer to a single person family.

"Tenant" is used to refer to participants in terms of their relation to landlords.

"Landlord" and "owner" are used interchangeable.

"Disability" is used where "handicap" was formerly used.

"New Rule" refers to the HUD Occupancy Regulations effective October 2, 1995. "Old Rule" refers to the Regulations that were superseded on that date.

"Noncitizens Rule" refers to the regulation effective June 19, 1995, restricting assistance to U.S. citizens and eligible immigrants.

The Section 8 programs are also known as the Certificate and Voucher Programs.

"HQS" means the Housing Quality Standards required by regulations as enhanced by the HA.

"Failure to Provide" refers to all requirements in the first Family Obligation. See Chapter 15, "Denial or Termination of Assistance."

See Glossary for additional terminology.

Chapter 2

ELIGIBILITY FOR ADMISSION

INTRODUCTION

This Chapter defines both HUD's and the HA's criteria for admission and denial of admission to the program. The policy of this HA is to strive for objectivity and consistency in applying these criteria to evaluate the eligibility of families who apply. The HA staff will review all information provided by the family carefully and without regard to factors other than those defined in this Chapter. Families will be provided the opportunity to explain their circumstances, to furnish additional information, if needed, and to receive an explanation of the basis for any decision made by the HA pertaining to their eligibility.

Eligibility Factors

To be eligible for participation, an applicant must meet HUD's criteria, as well as any permissible additional criteria established by the HA.

The HUD eligibility criteria are:

- An applicant must be a "family".
- An applicant must be within the appropriate Income Limits.
- An applicant must furnish Social Security Numbers.
- An applicant must furnish evidence of Citizenship/Eligible Immigrant Status.

For the HA's additional criteria for eligibility, see Section E, "Other Criteria for Admission."

The Family's initial eligibility for placement on the waiting list will be made in accordance with the eligibility factors. Evidence of Citizenship/Eligible Immigrant Status will not be verified until the family is selected from the waiting list for issuance of a Certificate or Voucher.

A. FAMILY COMPOSITION [24 CFR 982.54(d)(4)(i)]

The applicant must qualify as a Family. A Family may be a single person or a group of persons. Discrimination on the basis of familial status is prohibited, and a group of persons may not be denied solely on the basis that they are not related by blood, marriage, or operation of law.

A group of persons may be:

- Two or more persons who intend to share residency whose income and resources are available to meet the family's needs and who have a history as a family unit or show evidence of a stable family relationship.
- Two or more elderly or disabled persons living together, or one or more elderly or disabled persons living with one or more live-in aides is a family.
- A child who is temporarily away from home because of placement in foster care is considered a member of the family. This provision only pertains to the foster child's temporary absence from the home, and is not intended to artificially enlarge the space available for other family members.

A single person may be:

- An elderly person.
- A displaced person.
- A person with a disability.

-- Any “other single” person.

Head of Household

The head of household is the adult member of the household who is designated by the family as head, is wholly or partly responsible for paying the rent, and has the legal capacity to enter into a lease under State/local law. Emancipated minors who qualify under State law will be recognized as head of household.

Spouse of Head

Spouse means the husband or wife of the head.

For proper application of the Non-citizens Rule, the definition of spouse is: the marriage partner who, in order to dissolve the relationship, would have to be divorced. It includes the partner in a common law marriage. The term “spouse” does not apply to boyfriends, girlfriends, significant others, or co-heads.

Live-In Attendants

A Family may include a live-in aide provided that such live-in aide:

- Is determined by the HA to be essential to the care and well being of an elderly person, a near-elderly person, or a person with disabilities,
- Is not obligated for the support of the person(s), and
- Would not be living in the unit except to provide care for the person(s).

A live-in aide is treated differently than family members:

- Income of the live-in aide will not be counted for purposes of determining eligibility or level of benefits,
- Live-in aides are not subject to Non-Citizen Rule requirements, and
- Live-in aides may not be considered as a remaining member of the tenant family.

Relatives are not automatically excluded from being live-in aides, but they must meet all of the elements in the live-in aide definition described above.

Family members of a live-in attendant may also reside in the unit providing doing so does not increase the subsidy by the cost of an additional bedroom and that the presence of the live-in’s family members does not overcrowd the unit.

A live-in aide may only reside in the unit with the approval of the HA. Written verification will be required from a reliable, knowledgeable professional, such as a doctor, social worker or case worker. The verification provider must certify that a live-in aide is needed for the care of the family member who is elderly, near-elderly (50-61) or disabled.

Verification must include the hours the care will be provided.

The HA has the right to disapprove a request for a live-in aide based on the “Other Criteria for Eligibility” described in this Chapter (Section E).

Split Households Prior to Certificate/Voucher Issuance

When a family on the waiting list splits into two otherwise eligible families due to divorce or legal separation, and the new families both claim the same placement on the waiting list, and there is no court determination, the HA will make the decision taking into consideration the following factors:

- Which family member applied as head of household,
- Which family unit retains the children or any disabled or elderly members,
- Restrictions that were in place at the time the family applied,
- Role of domestic violence in the split, and
- Recommendations of social service agencies or qualified professionals such as children's protective services.

Documentation of these factors is the responsibility of the applicant families. If either or both of the families do not provide the documentation, they may be denied placement on the waiting list for failure to supply information requested by the HA.

In cases where domestic violence played a role, the standard used for verification will be the same as that required for the "displaced due to domestic violence" preference.

Multiple Families in the Same Household

When families apply which consist of two families living together, (such as a mother and father, and a daughter with her own husband or children), if they apply as a family unit, they will be treated as a family unit.

Joint Custody of Children

Children who are subject to a joint custody agreement but live with one parent at least 51% of the time will be considered members of the household. "51% of the time" is defined as 183 days of the year, which do not have to run consecutively.

When both parents are on the Waiting List and both are trying to claim the child, the parent whose address is listed in the school records will be allowed to claim the school-age child as a dependent.

B. INCOME LIMITATIONS [24 CFR 813.106, 982.201(b),(d), 982.54(d)(4)(ii)]

In order to be eligible for assistance, an applicant must be either:

- A very low-income family; or
- A low-income family in any of the following categories:
 - A low-income family that is continuously assisted under the 1937 Housing Act. An applicant is continuously assisted if the family has received assistance under any 1937 Housing Act program within 90 days of certificate/voucher issuance. Programs include public housing, all Section 8 programs, all Section 23 programs.
 - A low-income family physically displaced by rental rehabilitation activity under 24 CFR Part 511.
 - A low-income non-purchasing family residing in a HOPE 1 or HOPE 2 project.
 - A low-income non-purchasing family residing in a project subject to a home ownership program under 24 CFR 248.173.
 - A low-income family displaced as a result of the prepayment of a mortgage or voluntary termination of a mortgage insurance contract under 24 CFR 248.165.
 - A low-income family residing in a HUD-owned multifamily rental housing project when the project is sold, foreclosed or demolished by HUD. (Certificate program only.)

To determine if the family is income-eligible, the HA compares the Annual Income of the family to the applicable income limit for the family's size.

Families whose Annual Income exceeds the income limit will be denied admission and offered an informal review.

Single jurisdiction HA's: The applicable income limit to be used at initial issuance of a certificate or voucher is the income limit of the HA.

Multijurisdictional HA's: The applicable income limit used for initial issuance of a certificate or voucher is the highest income limit within the HA's jurisdiction.

For admission to the program (initial lease-up), the family must be within the very low income limit of the jurisdiction where they want to live.

Portability: For initial lease-up, families who exercise portability must be within the very low income limit for the jurisdiction of the receiving HA in which they want to live.

Participant families who exercise portability, and request or require a change in their form of assistance, must be within the low income limit of the receiving HA if they are to receive the alternate form of assistance.

C. MANDATORY SOCIAL SECURITY NUMBERS [24 CFR 750.10(a-f)]

Families are required to provide verification of Social Security Numbers for all family members age 6 and older prior to admission, if they have been issued a number by the Social Security Administration. This requirement also applies to persons joining the family after admission to the program.

Failure to furnish verification of social security numbers is grounds for denial or termination of assistance.

D. CITIZENSHIP/ELIGIBLE IMMIGRATION STATUS [24 CFR 812.5]

In order to receive assistance, a family member must be a U.S. citizen or eligible immigrant. Individuals who are neither may elect not to contend their status. Eligible immigrants are persons who are in one of the six immigrant categories as specified by HUD.

For the Citizenship/Eligible Immigration requirement, the status of each member of the family is considered individually before the family's status is defined.

Mixed Families - A family is eligible for assistance as long as at least one member is a citizen or eligible immigrant. Families that include eligible and ineligible individuals are called "mixed". Such applicant families will be given notice that their assistance will be pro-rated and that they may request a hearing if they contest this determination.

No Eligible Members - Applicant families that include no eligible members will be ineligible for assistance. Such families will be denied admission and offered an opportunity for a hearing.

Non-Citizen Students - Defined by HUD in the non-citizen regulations are not eligible for assistance.

Appeals - For this eligibility requirement only, the applicant is entitled to a hearing exactly like those provided for participants.

E. OTHER CRITERIA FOR ADMISSION [24 CFR 982.552(b)]

The HA may apply the following criteria, in addition to the HUD eligibility criteria, as grounds for denial of admission to the program.

1. Certificate Program family's Total Tenant Payment, computed in accordance with the Federal regulations, may not exceed the current Fair Market Rent as set by HUD for the family's certificate size in the area.
2. The Family must have not have violated any family obligation during a previous participation in the Section 8 program.
 - When the HA denies assistance to an applicant with a disability, the applicant may request a review of the family obligation that was violated, if the violation was a result of the disability.
 - An exception may be granted by the HA if the family member who violated the family obligation is not a current member of the household on the application.
3. No family member may have committed fraud, bribery, or any other corrupt or criminal act in connection with any Federal housing program.
4. Family must not have violated the requirements under the family's Contract of Participation in the Family Self-Sufficiency Program without good cause.
5. Family must have paid any outstanding debt owed the HA or another HA as a result of prior participation in any Federal housing program.
 - A Repayment Agreement will be executed, but the amounts owed to the HA must be paid in full prior to final eligibility determination.
 -
 - If a Repayment Agreement falls into arrears as defined in this policy, the family will be required to pay the balance in full prior to final eligibility determination.
6. No member of the family may have engaged in drug related or violent criminal activity.
 - The HA will not be obligated to ferret out information concerning a family's criminal activities as part of the processing of an application for assistance. Initial screening will be limited to routine inquiries of the family and any other information provided to the HA regarding this matter. The inquiries will be standardized and directed to all applicants by inclusion in the application form.
 - If either as a result of the standardized inquiry or the receipt of a verifiable referral, there is indication that the family or any family member is engaged in drug-related criminal activity or violent criminal activity, the HA may conduct closer inquiry to determine whether the family should be denied admission.
 - If the family indicates that they have been arrested or convicted for drug-related or violent criminal activity, the HA shall obtain verification through police/court records.
 - Verification of any past activity will be done at final eligibility and will include a check of conviction records.
7. No family member may have been evicted from public housing for any reason during the last five years.
8. No family member may have engaged in or threatened abusive or violent behavior toward HA personnel.

F. SUITABILITY OF FAMILY [24 CFR 982.202(b)(1)]

The HA may take into consideration any of the additional criteria for admission in Section E above, but may not otherwise screen for factors which relate to the suitability of the applicant family as tenants. It is the responsibility of the **owner** to screen the applicants as to their suitability for tenancy.

The HA will advise families how to file a complaint if they have been discriminated against by an owner. The HA will advise the family to make a Fair Housing complaint. The HA could also report the owner to HUD (Fair Housing/Equal Opportunity) or the local Fair Housing Organization.

G. CHANGES IN ELIGIBILITY PRIOR TO EFFECTIVE DATE OF THE CONTRACT

Changes that occur during the period between placement on the waiting list and issuance of a certificate or voucher may affect the family's eligibility or Total Tenant Payment. For example, if a family goes over the income limit prior to lease up, the applicant will not continue to be eligible for the program. They will be notified in writing of their ineligible status and their right to an informal review.

H. INELIGIBLE FAMILIES

Families who are determined to be ineligible will be notified in writing of the reason for denial and given an opportunity to request an informal review, or an informal hearing if they were denied due to non-citizen status. See Chapter 19, "Complaints and Appeals" for additional information about reviews and hearings.

Chapter 3

APPLYING FOR ADMISSION

INTRODUCTION

The policy of the HA is to ensure that all families who express an interest in housing assistance are given an equal opportunity to apply, and are treated in a fair and consistent manner. This Chapter describes the policies and procedures for completing an initial application for assistance, placement and denial of placement on the waiting list, and limitations on who may apply. The primary purpose of the intake function is to gather information about the family, but the HA will also utilize this process to provide information to the family so that an accurate and timely decision of eligibility can be made. Applicants will be placed on the waiting list in accordance with this Plan.

A. HOW TO APPLY

Families who wish to apply for any of the HA's programs must complete a written application form when application-taking is open. Applications will be made available in an accessible format upon request from a person with a disability.

The application process will involve two phases. The first is the "initial" application for assistance (referred to as a preapplication). This first phase results in the family's placement on the waiting list.

The second phase is the "final determination of eligibility" (referred to as the full application). The full application takes pace when the family reaches the top of the waiting list. At this time the HA ensures that verification of all HUD and HA eligibility factors is current in order to determine the family's eligibility for the issuance of a certificate or voucher.

B. OPENING/CLOSING OF APPLICATION TAKING [24 CFR 982.206, 982.54(d)(1)]

The HA will utilize the following procedures for opening the waiting list.

When the HA opens the waiting list, the HA will advertise through public notice in the following newspapers, minority publications and media entities, location(s), and program(s) for which applications are being accepted in the local paper of record, "minority" newspapers, and other media including:

-- Tri-City Herald (When the HA determines that it is not maintaining a representative composition and culture of clients reflective of its service areas, then more aggressive outreach activities will be developed (Black-oriented weekly, Hispanic-oriented weekly), if available.

The notice will contain:

- The dates, times, and the locations where families may apply.
- The programs for which applications will be taken.
- A brief description of the program.
- A statement that public housing residents must submit a separate application if they want to apply for Section 8.
- Limitations, if any, on who may apply.

The notices will be made in an accessible format if requested. They will provide potential applicants with information that includes the HA address and telephone number, how to submit an application, information on eligibility requirements, and the availability of Federal, and local preferences.

Upon request from a person with a disability, additional time will be given as an accommodation for submission of an application after the closing deadline. This accommodation is to allow persons with disabilities the opportunity to submit an application in cases when a social service organization provides inaccurate or untimely information about the closing date.

When Application Taking is Suspended

The HA may suspend the acceptance of applications if there are enough Federal preference holders to fill anticipated openings for the next 12 months. The waiting list may not be closed if it would have a discriminatory effect inconsistent with applicable civil rights laws.

Any time that there are not enough applicants who claim a Federal preference, the HA **may** reopen the list **only** to applicants who claim a Federal preference.

The HA will not be required to announce suspension of application-taking.

The open period shall be long enough to achieve a waiting list adequate to cover projected turnover and new allocations over the next 12 months. The HA will give at least three days' notice prior to closing the list. When the period for accepting applications is over, the HA will add the new applicants to the list by:

- Separating the new applicants into groups based on preferences and ranking applicants within each group by date and time of application.

Limits on Who May Apply

When the waiting list is open:

- Depending upon the composition of the waiting list with regard to family types and preferences and to better serve the needs of the community, at times the HA may only accept applications from:
 - Any family claiming a Federal preference.
 - Any family with Federal preference and claiming local preferences.
- If there are sufficient applications from elderly families, disabled families, and displaced singles, applications will not be accepted from Other Singles.

When the application is submitted to the HA:

- It establishes the family's date and time of application for placement order on the waiting list.

C. "INITIAL" APPLICATION PROCEDURES [24 CFR 982.204(b)]

The HA will utilize a preliminary-application form (pre-application). The information is to be filled out by the applicant whenever possible. To provide specific accommodation to persons with disabilities, the information may be completed by a staff person. It may also be mailed to the applicant and, if requested, it will be mailed in an accessible format.

The purpose of the preapplication is to permit the HA to preliminarily assess family eligibility or ineligibility and to determine placement on the waiting list. The preapplication will contain questions designed to obtain the following information:

- Names of adult members and age of all members.

- Sex and relationship of all members.
- Street Address and phone numbers.
- Mailing Address (if P.O. Box, or other permanent address).
- Amount(s) and sources(s) of income received by household members.
- Information regarding Disabilities relating to program requirements (i.e., deductions).
- Request for Specific Accommodation needed to fully utilize program and services.
- Information related to qualification for preferences.
- Social Security Numbers.
- Race/ethnicity.
- Citizenship/eligible immigration status.
- Arrests/Convictions for Drug-Related or Violent Criminal Activity.
- Previous address.
- Current and previous landlords names and addresses.
- Program integrity questions regarding previous participation in HUD programs.

Duplicate applications, including applications from a segment of an applicant household, will not be accepted. Ineligible families will not be placed on the waiting list.

Preapplications will not require an interview. The information on the application will not be verified until the applicant has been selected for final eligibility determination. Final eligibility will be determined when the full application process is completed and all information is verified.

Applicants are required to inform the HA in writing within two weeks of changes in family composition, income, and address, as well as any changes in their preference status. Applicants are also required to respond to requests from the HA to update information on their application, or to determine their continued interest in assistance.

Failure to provide information or to respond to mailings will result in the applicant being removed from the waiting list. See Chapter 19, “Complaints and Appeals”.

D. NOTIFICATION OF APPLICANT STATUS

The HA makes no eligibility determinations based on the preapplication. Consequently, no notification of preliminary eligibility is communicated to applicants.

E. TIME OF SELECTION

When funding is available, families will be selected from the waiting list in their preference-determined sequence, regardless of family size.

When there is insufficient funding available for the family at the top of the list, the HA will not admit any other applicant until funding is available for the first applicant. Applicants will not be passed over on the waiting list.

Considering the HA’s turnover and the availability of funding, groups of families will be selected from the waiting list to form a final eligibility “pool.” Selection from the pool will be based on waiting list sequence/completion of verification.

F. COMPLETION OF A FULL APPLICATION

All Federal, Ranking, or Local Preferences claimed on the preapplication or while the family is on the waiting list will be verified:

-- After the family is selected from the waiting list, and prior to completing the full application.

The qualification for preference must exist at the time the preference is verified regardless of the length of time an applicant has been on the waiting list because the preference is based on current status.

After the preference is verified, when the HA is ready to select applicants, applicants will be required to:

- Complete a Personal Declaration Form prior to the full application interview.
- Participate in a full application interview with an HA representative during which the applicant will be required to furnish complete and accurate information verbally as requested by the interviewer.
- The HA interviewer will complete the full application form with answers supplied by the applicant. The applicant will sign and certify that all information is complete and accurate.

The full application will be either mailed or communicated as requested as an accommodation to a person with a disability/mailed to the applicant in advance to complete/completed when the applicant attends the interview.

Requirement to Attend Interview

The HA utilizes the full application interview to discuss the family's circumstances in greater detail, to clarify information which has been provided by the family, and to ensure that the information is complete. The interview is also used as a vehicle to meet the informational needs of the family by providing information about the application and verification process, as well as to advise the family of other HA services or programs which may be available.

All adult family members are required to attend the interview and sign the housing application.

Exceptions may be made for students attending school out of state/for members for whom attendance would be a hardship.

The head and spouse are both required to attend the interview.

If the head of household cannot attend the interview, the spouse may attend to complete the application and certify for the family. The head of household, however, will be required to attend an interview within two days to review the information and to certify by signature that all of the information is complete and accurate.

It is the applicant's responsibility to reschedule the interview if he/she misses the appointment. If the applicant does not reschedule or misses two scheduled meeting, the HA will reject the application.

Applicants who fail to appear and want to reschedule a missed appointment must make the request to reschedule no later than 10 days from the original appointment date. The request must be made to the staff person who scheduled the appointment.

If an applicant fails to appear for a pre-scheduled appointment, the HA will automatically schedule a second appointment. If the applicant misses the second appointment without prior approval, the application is denied.

If an applicant fails to appear for their interview without prior approval of the HA, their application will be denied unless they can provide acceptable documentation to the HA that an emergency prevented them from calling.

Reasonable accommodation will be made for persons with a disability who requires an advocate or accessible offices. A designee will be allowed to provide some information, but only with permission of the person with a disability.

If an application is denied due to failure to attend the full application interview, the applicant will be notified in writing and offered an opportunity to request an informal review. (See Chapter 19, “Complaints and Appeals.”)

All adult members must sign the HUD Form 9886, Release of Information, the application form and all supplemental forms required by the HA, the declarations and consents related to citizenship/immigration status and any other documents required by the HA. Applicants will be required to sign specific verification forms for information which is not covered by the HUD Form 9886. Failure to do so will be cause for denial of the application for failure to provide necessary certifications and release as required by the HA.

Information provided by the applicant will be verified including information related to family composition, income, allowances and deductions, assets, eligible immigration status, full time student status and other factors related to preferences, eligibility and rent calculation. Verifications may not be more than 60 days old at the time of certificate/voucher issuance.

If the HA determines at or after the interview that additional information or document(s) are needed, the HA will request the document(s) or information in writing. The family will be given 10 days to supply the information.

If the information is not supplied in this time period, the HA will provide the family a notification of denial for assistance. (See Chapter 19, “Complaints and Appeals”.)

G. SELECTION OF CERTIFICATE OR VOUCHER [24 CFR 982.205(c)(2)]

The HA provides an explanation of the differences between the Certificate and Voucher programs orally, and the applicant is asked to specify which type of assistance they prefer, and to indicate if they would accept the other form of assistance.

The family must decide which form of assistance (Certificate or Voucher) they prefer within five days of the notification. If the form of assistance preferred is available, it will be offered to the applicant.

When the non-preferred form of assistance is available first, the non-preferred form of assistance will be offered.

If there is no response to the request for a decision, or funding for the form of assistance preferred is not available, and the family has indicated they would accept the other form of assistance, the HA will offer whatever form of assistance is available.

The applicant may refuse the first form of assistance offered and retain their place on the waiting list until the other form of assistance is available. If the applicant then refuses the other form of assistance, they will be rejected and their name removed from the waiting list. (See Chapter 19, “Complaints and Appeals”.)

H. FINAL DETERMINATION AND NOTIFICATION OF ELIGIBILITY

After the verification process is completed, the HA will make a final determination of eligibility. This decision is based upon information provided by the family, the verification completed by the HA, and the current eligibility criteria in effect. If the family is determined to be eligible, the HA will mail a notification of eligibility. A briefing will be scheduled for the issuance of a certificate or voucher and the family's orientation to the housing program.

Chapter 4

ESTABLISHING PREFERENCES AND MAINTAINING THE WAITING LIST [24 CFR 982.54(d)(1)]

INTRODUCTION

It is the HA's objective to ensure that the families are placed in the proper order on the waiting list so that an offer of assistance is not delayed to any family or made to any family prematurely.

This chapter defines the eligibility criteria for the three Federal Preferences and explains the HA's system of applying them. It also explains any ranking and/or local preferences which the HA may have adopted to meet local housing needs. By maintaining an accurate waiting list, the HA will be able to perform the activities which ensure that an adequate pool of qualified applicants will be available so that program funds are used in a timely manner.

A. APPLICATION POOL

The waiting list will be maintained accordance with the following guidelines:

1. The application will be a permanent file.
2. All applicants in the pool will be maintained in order of preference. Applications equal in preference will be maintained by date and time sequence.
3. All applicants must meet "Very Low Income" eligibility requirements as established by HUD. Any exceptions to these requirements, other than those outlined in Chapter 2, "Eligibility for Admission," must have been approved previously by the HUD Field Office.

Special Admissions [24 CFR 982.54(d),(e)]

Applicants who are admitted under Special Admissions, rather than from the waiting list, are identified by codes in the automated system and are/are not maintained on separate lists.

Applicants who are admitted under targeted funding which are not identified as a Special Admission are identified by codes in the automated system and are maintained on separate waiting lists.

B. WAITING LIST PREFERENCES [24 CFR 982.207]

An applicant will not be granted any preference (Federal, ranking, or local) if any member of the family has been evicted from any Federally assisted housing during the past three years because of drug-related criminal activity.

The HA may grant an exception to such a family if:

- The evicted person was not involved in the drug related activity that occasioned the eviction.

If an applicant makes a false statement in order to qualify for a Federal, ranking, or local preference, the HA will deny admission to the program for the family.

Types of Applicants With Preference Over "Other Singles":

Applicants who are elderly or disabled households (with up to two members) and single person displaced by government action will be given a selection priority over all “Other Single” applicants regardless of Federal preference status.

“Other Singles” denotes a one-person household in which the individual member is neither elderly, disabled, nor displaced by government action. Such applicants will be placed on the waiting list in accordance with their Federal preferences, but cannot be selected for assistance before any elderly family, disabled family, or displaced single regardless of Federal preferences.

C. FEDERAL PREFERENCE CATEGORIES [24 CFR 982.211-213]

Applicants who are entitled to a preference by Federal regulations include:

- Involuntarily displaced.
- Currently living in substandard housing (including homeless families).
- Currently paying more than 50% of their income for rent and utilities (“Rent Burden”).

Descriptions of these Preferences and their “definitional elements” (or sub-categories) follows.

Involuntary Displacement

Involuntarily Displaced applicants are applicants who have been involuntarily displaced and are not living in standard, permanent replacement housing, or will be involuntarily displaced within no more than six months from the date of verification by the HA.

Families are considered to be involuntarily displaced if they are required to vacate housing as a result of:

1. A disaster (fire, flood, earthquake, etc.) that has caused the unit to be uninhabitable.
2. Federal, State, or local government action related to code enforcement, public improvement or development.
3. Action by a housing owner which is beyond an applicant’s ability to control, and which occurs despite the applicant’s having met all previous conditions of occupancy, and is other than a rent increase.

For purposes of this definitional element, reasons for an applicant’s having to vacate a housing unit include, but are not limited to:

- Conversion of an applicant’s housing unit to non-rental or non-residential use;
 - Closure of an applicant’s housing unit for rehabilitation or non-residential use;
 - Notice to an applicant that he/she must vacate a unit because the owner wants the unit for the owner’s personal or family use or occupancy;
 - Sale of a housing unit in which an applicant resides under an agreement that the unit must be vacant which possession is transferred; or
 - Any other legally authorized act that results, or will result, in the withdrawal by the owner of the unit or structure from the rental market.
4. Actual or threatened physical violence directed against the applicant or the applicant’s family by a spouse or other household member who lives in the unit with the family.

The actual or threatened violence must be of a continuing nature.

An applicant who lives in a violent neighborhood or is fearful of other violence outside the household is not considered involuntarily displaced.

To qualify for this preference, the abuser must still reside in the unit from which the victim was displaced. The applicant must certify that the abuser will not reside with the applicant unless the HA gives prior written approval.

The HA will approve the return of the abuser to the household under the following conditions:

-- None.

If the abuser returns to the family without approval of the HA, the HA will deny or terminate assistance for breach of the certification.

The HA will take precautions to ensure that the new location of the family is concealed in cases of domestic abuse.

5. To avoid reprisals because the family provided information on criminal activities to a law enforcement agency and, after a threat assessment, the law enforcement agency recommends rehousing the family to avoid or reduce risk of violence against the family.

The family must be part of a Witness Protection Program, or the HUD Office or law enforcement agency must have informed the HA that the family is part of a similar program.

6. By hate crimes if a member of the family has been the victim of one or more hate crimes, and the applicant has vacated the unit because of the crime or the fear of such a crime has destroyed the applicant's peaceful enjoyment of the unit.

A hate crime is actual or threatened physical violence or intimidation that is directed against a person or his property and is based on the person's race, color, religion, sex, national origin, disability, or familial status, and is of a continuing nature.

7. Displacement by non-suitability of the unit when a member of the family has a mobility or other impairment that makes the person unable to use critical elements of the unit and the owner is not legally obligated to make changes to the unit.

Critical elements are but not limited to: entry and egress of unit and building/a sleeping area/a full bathroom/a kitchen, if the person with a disability must do their own food preparation.

8. Due to HUD disposition of a multifamily project under Section 203 of the Housing and Community Development Amendments of 1978.

Standard Replacement Housing

In order to receive the displacement preference, applicants who have been displaced must not be living in "standard, permanent replacement housing."

Standard replacement housing is defined as housing that is decent, safe, and sanitary according to Housing Quality Standards and local housing code, that is adequate for the family size according to Housing Quality Standards and local code, and that the family is occupying pursuant to a written or oral lease or occupancy agreement.

Standard replacement housing does not include transient facilities, hotels, motels, temporary shelters, and (in the case of Victims of Domestic Violence) housing occupied by the individual who engages in such violence. It does not include any individual imprisoned or detained pursuant to State law or an Act of Congress. Shared housing with family or friends is considered temporary and is considered standard replacement housing.

Substandard Housing

Applicants who live in substandard housing are families whose dwelling meets one or more of the following criteria provided that the family did not cause the condition:

1. Is dilapidated and does not provide safe, adequate shelter; has one or more critical defects or a combination of defects requiring considerable repair; endangers the health, safety, and well-being of family. The HA prefers documentation by officials of a code enforcement office.
2. Does not have operable indoor plumbing.
3. Does not have usable flush toilet in the unit for the exclusive use of the family.
4. Does not have usable bathtub or shower in unit for exclusive family use.
5. Does not have adequate, safe electrical service.
6. Does not have an adequate, safe source of heat.
7. Should, but does not, have a kitchen. (Single Room Occupancy [SRO] Housing is not substandard solely because it does not contain sanitary and/or food preparation facilities in the unit.)
8. Has been declared unfit for habitation by a government agency.
9. Persons who reside as part of a family unit shall not be considered a separate family unit for substandard housing definition preference purposes.
10. Applicants living in publicly assisted housing shall not be denied this preference if unit meets the criteria for the substandard preference.
11. An applicant who is a "Homeless Family" is considered to be living in substandard housing. "Homeless Families":
 - Lack a fixed, regular and adequate nighttime residence; AND
 - Have a primary nighttime residence that is a supervised public or private shelter providing temporary accommodations (including welfare hotels, congregate shelters and transitional housing), or an institution providing temporary residence for individuals intended to be institutionalized, or a public or private place not ordinarily used as a sleeping accommodation for human beings.

Homeless families may maintain their place on the waiting list while completing a transitional housing program.

Families who are residing with friends or relatives on a temporary basis will not be included in the homeless definition.

For purposes of 3 and 4, persons who reside as part of a family unit shall not be considered a separate household.

Rent Burden

Families paying more than 50% of their income for rent and utilities for at least 90 days commencing before they were selected from the Waiting List and continuing through the verification of preference will receive this preference.

For purposes of this preference, "Family Income" is Gross Monthly Income as defined in the regulations.

“Rent” is defined as the actual amount due under a lease or occupancy agreement calculated on a monthly basis without regard to the amount actually paid, plus the monthly amount of tenant-supplied utilities which can be either:

1. The HA’s reasonable estimate of the cost of such utilities, using the Section 8 Utility Allowance Schedule; or
2. The average monthly payments the family actually made for these utilities in the most recent 12-month period, or if information is not obtainable for the entire period, the average of at least a representative sampling of three months.

An applicant family may choose which method to use to calculate utilities expense. Any amounts paid to or on behalf of a family under any energy assistance program must be subtracted from the total rent burden if included in Family Income. The applicant must show that they actually paid the utility bills, regardless of whose name the service is under.

To qualify for the Rent Burden preference, the applicant must pay rent directly to the landlord or agent.

If the applicant pays their share of rent to a cohabitant and is not named on the lease, the HA will require both verification from the Landlord that the applicant resides in the unit, and verification from the cohabitant of the amount of rent paid by the applicant.

If the applicant is subletting, the lessor must have the legal right to sublet.

If an applicant owns a mobile home, but rents the space upon which it is located, then “Rent” must include the monthly payment made to amortize the purchase price of the home.

Members of a cooperative are “renters” for the purposes of qualifying for the preference. In this case, “Rent” would mean the charges under the occupancy agreement.

D. INITIAL DETERMINATION OF FEDERAL PREFERENCE QUALIFICATION [24 CFR 982.210(c)(3)]

At the time of application, an applicant’s entitlement to a Federal preference may be made on the basis of:

- An applicant’s certification that they qualify for a preference will be accepted without verification. When the family is selected from the waiting list for the final determination of eligibility, the preference will be verified.

The HA will reverify a preference claim, if the HA feels the family’s circumstances have changed, at time of selection from the waiting list.

If the preference verification indicates that an applicant does not qualify for the preference, the applicant will be returned to the waiting list and ranked with the Federal preference and given an opportunity for a meeting.

If, at the time the family applied, the preference claim was the only reason for placement of the family on the list and the family cannot verify their eligibility for the preference as of the date of application, the family will be removed from the list.

E. RANKING PREFERENCES [24 CFR 982.208, 982.210(b)]

Ranking preferences are used to prioritize applicants within the Federal preferences.

F. LOCAL PREFERENCES [24 CFR 982.208, 982.209]

The HA recognizes the Federal preferences as its Local preferences.

If local preferences are expanded, the HA will publish and distribute a notice using the same guidelines as those for opening and closing of the waiting list.

When and if exercised, local preferences will be used to select among applicants on the waiting list in addition to Federal preferences. A public hearing or public notice must be held before the HA adopts any additional local preference.

G. EXCEPTIONS FOR SPECIAL ADMISSIONS [24 CFR 982.203, 982.54(d)(3)]

If HUD awards an HA program funding that is targeted for specifically named families, the HA will admit these families under a Special Admission procedure.

Special admissions families will be admitted apart from the regular waiting list process. They do not have to qualify for any preferences, nor are they required to be on the program waiting list. They are not counted in the limit on non-Federal preference admissions. The HA maintains separate records of these admissions.

The following are examples of types of program funding that may be designated by HUD for families living in a specified unit:

1. A family displaced because of demolition or disposition of a public or Indian housing project;
2. A family residing in a multifamily rental housing project when HUD sells, forecloses or demolishes the project;
3. For housing covered by the Low Income Housing Preservation and Resident Homeownership Act of 1990;
4. A family residing in a project covered by a project-based Section 8 HAP contract at or near the end of the HAP contract term;
5. A non-purchasing family residing in a HOPE 2 or HOPE 2 project; and
6. Rental Rehabilitation Program with the City of Richland.

H. TARGETED FUNDING

When HUD awards special funding for certain family types, families who qualify are placed on the regular waiting list. When a specific type of funding becomes available, the waiting list is searched for the first available family meeting the targeted funding criteria.

The HA has following “Targeted” Programs:

-- None

I. PREFERENCE ELIGIBILITY [24 CFR 982.210(c)(3-4)]

Change in Circumstances

Changes in an applicant's circumstances while on the waiting list may affect the family's entitlement to a preference. Applicants are required to notify the HA in writing when their circumstances change. When an applicant claims an additional preference, he/she will be placed on the waiting list in the appropriate order determined by the newly-claimed preference.

The exception to this is if, at the time the family applied, the waiting list was only open to families who claimed the Federal preference which they initially claimed. In such case, the applicant must verify that they were eligible for the first preference before they are returned to the waiting list with the new preference.

Cross-Listing of Public Housing and Section 8

The HA will not merge the waiting lists for FmHA (Benton City) housing and Section 8. However, if the Section 8 waiting list is open when the applicant is placed on the FmHA (Benton City) housing list, the HA must offer to place the family on both lists. If the FmHA housing waiting list is open at the time an applicant applies for Section 8, the HA does not offer to place the family on the FmHA housing waiting list.

The HA maintains a separate waiting list for the FmHA program and the Certificate/Voucher programs and the Section 8 Moderate Rehabilitation program.

J. ORDER OF SELECTION [24 CFR 982.207(e), 982.210(a & b)]

The order of selection is based on the HA's system for weighing preferences. It is a HUD requirement that elderly and disabled families and displaced singles will always be selected before other singles.

Federal Preferences

The HA has selected the following system to apply the Federal preferences:

1. The Federal preferences claimed by an applicant will be aggregated with a point system.

Ranking Preferences

Ranking preferences will be used to select among Federal preference holders. The HA has selected the following system to apply ranking preferences:

1. Ranking preferences will be aggregated with a point system.

Local Preferences

Local preferences are used to select among families who do not qualify for a Federal preference. The HA has selected Federal Preferences as its local preferences.

Among Applicants with Equal Preference Status

Among applicants with equal preference status, the waiting list will be organized by date and time.

Under the singles rule, elderly and disabled families and displaced singles will always be selected before other singles without regard to preference status.

K. FINAL VERIFICATION OF PREFERENCES [24 CFR 982.210(c)(3 & 4)]

Preference information on applications will be updated as applicants are selected from the waiting list. At that time, the HA will:

- Mail a Preference Verification letter to the applicant's last known address, requesting verification of the family's preference claim and mail third party verifications as applicable.
- Obtain necessary verifications of preference at the interview and by third party verification.

L. PREFERENCE DENIAL [24 CFR 982.210(d)]

If the HA denies a preference, the HA will notify the applicant in writing of the reasons why the preference was denied and offer the applicant an opportunity for an informal meeting. If the preference denial is upheld as a result of the meeting, or the applicant does not request a meeting, the applicant will be placed on the waiting list without benefit of the preference. Applicants may exercise other rights if they believe they have been discriminated against.

If the applicant falsifies documents or makes false statements in order to qualify for any preference, they will be removed from the Waiting List.

M. REMOVAL FROM WAITING LIST AND PURGING [24 CFR 982.204(c)]

If an applicant fails to respond to a mailing from the HA, the applicant will be sent written notification and given ten days to contact the HA. If they fail to respond within that ten days they will be removed from the waiting list. An extension will be considered an accommodation if requested by a person with a disability. If a letter is returned by the Post Office without a forwarding address, the applicant will be removed without further notice, and the envelope and letter will be maintained in the file. If a letter is returned with a forwarding address, it will be re-mailed to the address indicated.

If an applicant is removed from the waiting list for failure to respond, they will not be entitled to reinstatement unless the Executive Director determines that a documented emergency occurred preventing a reasonable effort to respond.

The waiting list will be purged at least annually by a mailing to all applicants to ensure that the waiting list is current and accurate. The mailing will ask for current information and confirmation of continued interest.

The same guidelines will be used for failure to respond to this mailing. Notices will be made available in accessible format upon the request of a person with a disability.

Chapter 5

SUBSIDY STANDARDS [24 CFR 982.54(d)(9)]

INTRODUCTION

HUD guidelines require that HA's establish subsidy standards for the determination of Certificate and Voucher bedroom size, and that such standards provide for a minimum commitment of subsidy while avoiding overcrowding. The standards used for the Certificate or Voucher size also must be within the minimum unit size requirements of HUD's Housing Quality Standards. This Chapter explains the subsidy standards which will be used to determine the certificate/voucher size for various sized families when they are selected from the waiting list, as well as the HA's procedures when a family's size changes, or a family selects a unit size that is different from the Certificate or Voucher.

A. DETERMINING CERTIFICATE/VOUCHER SIZE [24 CFR 982.402]

The HA does not determine who shares a bedroom/sleeping room, but there must be at least one person per bedroom on the Certificate or Voucher. The HA's subsidy standards for determining certificate/voucher size shall be applied in a manner consistent with Fair Housing guidelines.

For subsidy standards, an adult is a person 18 years or older.

All standards in this section relate to the number of bedrooms on the Certificate or Voucher, not the family's actual living arrangements.

The unit size on the Certificate or Voucher remains the same as long as the family composition remains the same, regardless of the actual unit size rented.

1. Generally, the HA assigns one bedroom to two people within the following guidelines:
 - Separate bedrooms should be allocated for persons of the opposite sex (other than adults who have a spousal relationship and children under age of ten years).
 - Foster children will be included in determining unit size only if they will be in the unit for more than six months.
 - Live-in attendants will generally be provided a separate bedroom. No additional bedrooms are provided for the attendants' family.
 - Space may be provided for a child who is away at primary/secondary school but who lives with the family during school recesses (including weekends).
 - Space will not be provided for a family member who will be absent most of the time, and who financially supports the family such as a member who is away in the military.
 - Adults of different generations will have separate bedrooms.
 - Single person families may be allocated one bedroom.

GUIDELINES FOR DETERMINING CERTIFICATE/VOUCHER SIZE

Certificate/Voucher Size	Persons in Household (Minimum Number)	Persons in Household (Maximum Number)
0 Bedroom	1	1

1 Bedroom	1	2
2 Bedrooms	2	4
3 Bedrooms	3	6
4 Bedrooms	4	8
5 Bedrooms	6	10
6 Bedrooms	8	12

B. CHANGES IN CERTIFICATE/VOUCHER SIZE [24 CFR 982.403(a & b)]

Changes for Applicants

The certificate/voucher size is determined prior to the briefing by comparing the family composition to the HA subsidy standards. If an applicant requires a change in the certificate/voucher size, the following guidelines will apply:

Requests for Exception to Subsidy Standards for Applicants

The family may request a larger sized certificate or voucher than indicated by the HA's subsidy standards. Such request must be made in writing within five days of the HA's determination of bedroom size. The request must explain the need or justification for a larger bedroom size.

The HA will not issue a larger certificate or voucher due to additions of family members other than by birth, adoption, marriage, or court-awarded custody.

HA shall grant exceptions from the standards if the family requests and the HA determines the exceptions are justified by the relationship, age, sex, health, or disability of family members, or other individual circumstances.

Circumstances may dictate a larger size than the Subsidy Standards permit when persons cannot share a bedroom because of an accommodation which has been requested, such as:

- Persons who cannot occupy a bedroom because of a verified medical or health reason,
- Elderly persons or Persons with disabilities who may require a live-in attendant.

Requests based on health related reasons must be verified by a doctor or a medical professional.

If the HA errs in the bedroom size designation, the family will be issued a Certificate or Voucher of the appropriate size so that the family is not penalized.

Changes for Participants

The members of the family residing in the unit must be approved by the HA. The family must obtain approval of any additional family member before the person occupies the unit except for additions by birth, adoption, or court-awarded custody, in which case the family must inform the HA within ten days.

Requests for Exception to Subsidy Standards for Participants

The HA will grant an extension upon request as an accommodation for persons with disabilities.

The family may request a larger sized certificate or voucher than indicated by the HA's subsidy standards. Such request must be made in writing within five days of the HA's determination of bedroom size. The request must explain the need or justification for a larger bedroom size.

When a change in family composition requires the issuance of another size Certificate or Voucher, and funds are not available for the program in which the family is assisted, the family will be issued the other form of assistance.

The HA will not issue a larger size Certificate or Voucher due to additions to the family other than by birth, adoption, marriage, or court-awarded custody.

Underhoused and Overhoused Families

If a unit does not meet HQS space standards due to an increase in family size, (unit too small), the HA will issue a new certificate or voucher and assist the family in locating a suitable unit.

Certificate Families Only:

- If a certificate family is occupying a unit which has more bedrooms than allocated under the HA's subsidy standards, and the gross rent exceeds the FMR/Exception rent for the family size under the HA's subsidy standards, the HA will issue the family a new certificate and assist the family in finding a suitable unit.
- Certificate families who are under-occupying a unit as defined above will be given a minimum of sixty days before assistance is terminated.
- The HA will also notify the family of the circumstances when an exception will be granted, such as:
 - The family has been unable to locate a unit within forty-five days and so informs the HA.

Transfer Waiting List

When a change in family composition requires the issuance of another size Certificate or Voucher, and funds are not available for the type of assistance the family has, the family will be transferred to the other form of assistance. If funds are not available for either program, the family will be placed on a Transfer List.

Families will be selected from the Transfer List before families are selected from the applicant waiting list. This assures that families who are already on the program are in the appropriate sized units.

Families will be selected from this list when there is available funding, in the following sequence:

1. Date and time sequence.

C. UNIT SIZE SELECTED

The family may select a different size dwelling than that listed on the Certificate or Voucher. There are three criteria to consider:

1. **Rent Limitation** - For the Certificate Program, the HA must always apply the FMR for the Certificate size or the unit size selected by the family, *whichever is less*.
 - For the Voucher Program, the HA uses the Payment Standard for the Voucher size or the unit size selected by the family, *whichever is less*.

2. **Utility Allowance** - The utility allowance used to calculate the gross rent is based on the actual size of the unit the family selects, regardless of the size authorized on the family's Certificate or Voucher.
3. **Housing Quality Standards** - The standards allow two persons per living/sleeping room and permit maximum occupancy levels (assuming a living room is used as a living/sleeping area) as shown in the table below. The levels may be exceeded if a room in addition to bedrooms and living room is used for sleeping.

HQS GUIDELINES FOR UNIT SIZE SELECTED

	Maximum # of Persons in Household
0 Bedroom	1
1 Bedroom	4
2 Bedrooms	6
3 Bedrooms	8
4 Bedrooms	10
5 Bedrooms	12
6 Bedrooms	14

Chapter 6

FACTORS RELATED TO TOTAL TENANT PAYMENT DETERMINATION

INTRODUCTION [24 CFR 813]

The accurate calculation of Annual Income and Adjusted Income will ensure that families are not paying more or less money for rent than their obligation under the Regulations. This Chapter defines the allowable deductions from Annual Income and how the presence or absence of household members may affect the Total Tenant Payment (TTP). Income and TTP are calculated in accordance with 24 CFR Part 813 and further instructions set forth in HUD Notices, Memoranda and Addenda. The formula for the calculation of TTP is specific and not subject to interpretation. The HA's policies in this Chapter address those areas which allow the HA discretion to define terms and to develop standards in order to assure consistent application of the various factors that relate to the determination of TTP.

A. INCOME AND ALLOWANCES

Income - The types of money which are to be used as income for purposes of calculating the TTP are defined by HUD in Federal regulations. In accordance with this definition, income from all sources of each member of the household is counted.

Annual Income - Is defined as the gross amount of income anticipated to be received by the family during the 12 months after certification or recertification. Gross income is the amount of income prior to any HUD allowable expenses or deductions, and does not include income which has been excluded by HUD. Annual income is used to determine whether or not applicants are within the applicable income limits.

Note: If the amount of welfare income is reduced due to an act of fraud by a family member or because of any family member's failure to comply with requirements to participate in an economic self-sufficiency program or work activity, the amount of rent required to be paid by the family will not be decreased. In such cases, the amount of income attributable to the family will include what the family would have received had they complied with the welfare requirements and/or had not committed an act of fraud.

If the amount of welfare assistance is reduced as a result of a lifetime time limit, the reduced amount is the amount that shall be counted as income

Adjusted Income - Is defined as the Annual Income minus any HUD allowable deduction.

HUD has five allowable deductions from Annual Income:

1. Dependent allowance - \$480 each for family members (other than the head or spouse), who are minors, and for family members who are 18 and older who are full-time students or who are disabled.
2. 'Elderly' allowance - \$400 for families whose head or spouse is 62 or over or disabled.
3. Allowable medical expenses for all family members are deducted for 'elderly' families.
4. Child care expenses for children under 13 are deducted when child care is necessary to allow a head of household/spouse family member to work or attend school.

5. Expenses for attendant care or auxiliary apparatus for persons with disabilities if needed to enable the individual or an head of household/spouse family member to work.

“Minimum Rent” and Minimum Family Contribution

“Minimum Rent” in the Certificate and moderate rehabilitation program is \$25 per month. Minimum rent includes the combined amount (TTP) a family pays towards rent and/or utilities.

Minimum family contribution in the voucher program is \$25 per month.

B. DEFINITION OF TEMPORARILY/PERMANENTLY ABSENT [24 CFR 813.106, 982.54(d)(10), 982.551(h)(2),(3),(7)]

The HA must compute all applicable income of every family member who is on the lease, including those who are temporarily absent. In addition, the HA must count the income of the spouse or the head of the household if that person is temporarily absent, even if that person is not on the lease.

Income of persons permanently absent will not be counted. If the spouse is temporarily absent and in the military, all military pay and allowances (except hazardous duty pay when exposed to hostile fire and any other exceptions to military pay HUD may define) is counted as income.

It is the responsibility of the head of household to report changes in family composition. The HA will evaluate absences from the unit using this policy.

Absence of Entire Family [24 CFR 982.54(10)]

These policy guidelines address situations when the family is absent from the unit, but has not moved out of the unit. In cases where the family has moved out of the unit, the HA will terminate assistance in accordance with appropriate termination procedures contained in this Plan.

Families are required both to notify the HA before they move out of a unit and to give the HA information about any family absence from the unit.

Families must notify the HA in writing if they are going to be absent from the unit for more than thirty consecutive days.

If the entire family is absent from the assisted unit for more than sixty consecutive days, the unit will be considered to be vacated and the assistance will be terminated.

If it is determined that the family is absent from the unit longer than the time specified in this Plan, the HA will not continue assistance payments.

If it is determined that the family is absent from the unit, the HA will continue assistance payments for a maximum of two months, not to exceed 180 days.

HUD regulations require the HA to terminate assistance if the entire family is absent from the unit for a period of more than 180 consecutive calendar days.

“Absence” means that no family member is residing in the unit.

In order to determine if the family is absent from the unit, the HA may:

- Write certified letters to the family at the unit.
- Telephone the family at the unit.
- Verify if utilities are in service.
- Interview neighbors.

A person with a disability may request an extension of time as an accommodation, provided that the extension does not go beyond the HUD-allowed 180 consecutive calendar days limit.

If the absence which resulted in termination of assistance was due to a person's disability, and the HA can verify that the person was unable to notify the HA in accordance with the family's responsibilities, and if funding is available, the HA may reinstate the family as an accommodation if requested by the family.

Absence of Any Member [24 CFR 982.54(10)]

Any member of the household will be considered permanently absent if he/she is away from the unit for three (3) consecutive months except as otherwise provided in this Chapter.

Absence Due to Medical Reasons [24 CFR 982.54(10)]

If any family member leaves the household to enter a facility such as hospital, nursing home, or rehabilitation center, the HA will seek advice from a reliable qualified source as to the likelihood and timing of their return. If the verification indicates that the family member will be permanently confined to a nursing home, the family member will be considered permanently absent. If the verification indicates that the family member will return in less than ninety (90) consecutive days, the family member will not be considered permanently absent.

If the person who is determined to be permanently absent is the sole member of the household, assistance will be terminated in accordance with the HA's "Absence of Entire Family" policy.

Absence Due to Incarceration

If the sole member is incarcerated for more than ninety consecutive days, he/she will be considered permanently absent. Any member of the household, other than the sole member, will be considered permanently absent if he/she is incarcerated for three consecutive months.

The HA will determine if the reason for incarceration is for drug-related or violent criminal activity.

Foster Care and Absences of Children

If the family includes a child or children temporarily absent from the home due to placement in foster care, the HA will determine from the appropriate agency when the child/children will be returned to the home.

If the time period is to be greater than three months from the date of removal of the children, the certificate/voucher size will be reduced. If all children are removed from the home permanently, the certificate or voucher size will be reduced in accordance with the HA's subsidy standards.

Absence of Adult

If neither parent remains in the household and the appropriate agency has determined that another adult is to be brought into the assisted unit to care for the children for an indefinite period, the HA will treat that adult as a visitor for the first fourteen consecutive days.

If by the end of that period, court-awarded custody or legal guardianship has been awarded to the caretaker, the Certificate or Voucher will be transferred to the caretaker.

If custody or legal guardianship has not been awarded by the court, but the action is in process, the HA will secure verification from social services staff or the attorney as to the status.

The caretaker will be allowed to remain in the unit, as a visitor, until a determination of custody is made.

When the HA approves a person to reside in the unit as caretaker for the children, the income should be counted pending a final disposition. The HA will work with the appropriate service agencies and the landlord to provide a smooth transition in these cases.

If a member of the household is subject to a court order that restricts him/her from the home for more than thirty months, the person will be considered permanently absent.

If an adult family member leaves the household for any reason, the family must report the change in family composition to the HA within ten days.

The family will be required to notify the HA in writing within ten days when an adult family member moves out. The notice must contain a certification by the family as to whether the adult is temporarily or permanently absent.

The family member will be determined permanently absent if verification is provided.

Time extensions, may be granted as an accommodation upon request by a person with a disability.

If an adult child goes into the military and leaves the household, they will be considered permanently absent.

Full time students who attend school away from the home will be treated in the following manner:

- Full time students who attend school away from the home and live with the family during school recess will be considered permanently absent from the household.

Visitors

Any adult not included on the HUD 50058 who resides in the unit more than 14 consecutive days, or a total of 30 days in a 12-month period, will be presumed to be living in the unit as an unauthorized household member.

The participating family or individual has the responsibility to report any additions to the household. The failure to properly report additions to the household may result in the Housing Authority terminating assistance to the household.

The Housing Authority will give notice to the participating family or individual when they make a determination that an adult not included on the HUD 50058 is considered to be an unauthorized household member.

Upon receipt of notice, or prior to this time the if the participating family or individual anticipates they will have a visitor who exceeds the time frames set forth above, the presumption that the visitor is an unauthorized household member may be rebutted by:

1. Evidence that the visitor has a permanent address elsewhere, including, but not limited to: evidence of the visitor's mailing address, rent or house payments, rental agreement, utility bill; and
2. Evidence that the visitor does not intend to become a permanent member of the household, including, but no limited to; statement from a doctor or social service agency that the visitor is assisting the participating family or individual with a medical condition or emergency; statement from the visitor or participating family or individual that the visit are for the purpose of maintaining an appropriate family relationship.

Use of the unit address as the visitor's current residence for any purpose that is not explicitly temporary shall be construed as permanent residence.

The burden of proof that the individual is a visitor rests on the family. In the absence of such proof, the individual will be considered an unauthorized member of the family and the HA will terminate assistance since prior approval was not requested for the addition.

Minors and college students who were part of the family but who now live away from home during the school year and are not considered members of the household may visit for up to ninety days per year without being considered a member of the household.

In a joint custody arrangement, if the minor is in the household less than 182 days per year, the minor will be considered to be an eligible visitor and not a family member.

Reporting Additions to Owner and HA

Reporting changes in household composition to the HA is both a HUD and HA requirement.

The family obligations require the family to request HA approval to add any other family member as an occupant of the unit and to inform the HA of the birth, adoption or court-awarded custody of a child. The family must request prior approval of additional household members in writing.

If the family does not obtain prior written approval from the HA, any person the family has permitted to move in will be considered an unauthorized household member.

An interim reexamination will be conducted for any additions to the household.

In addition, the lease may require the family to obtain prior written approval from the owner when there are changes in family composition.

Reporting Absences to the HA

Reporting changes in household composition is both a HUD and HA requirement.

If a family member leaves the household, the family must report this change to the HA, in writing, within ten days of the change and certify as to whether the member is temporarily absent or permanently absent.

The HA will conduct an interim evaluation for changes which affect the TTP in accordance with the interim policy.

C. AVERAGING INCOME [24 CFR 813.106(d)]

When Annual Income cannot be anticipated for a full twelve months, the HA may:

1. Average known sources of income that vary to compute an annual income, or
2. Annualize current income and conduct an interim reexamination if income changes.

If there are bonuses or overtime which the employer cannot anticipate for the next twelve months, bonuses and overtime received the previous year will be used.

Income from the previous year may be analyzed to determine the amount to anticipate when third party or check-stub verification is not available.

If by averaging, an estimate can be made for those families who income fluctuates from month to month, this estimate will be used so that the housing payment will not change from month to month.

The method used depends on the regularity, source, and type of income.

D. MINIMUM INCOME [24 CFR 813.102]

There is no minimum income requirement. Families who report zero earned income are required to complete a written certification every ninety days.

E. INCOME OF PERSON PERMANENTLY CONFINED TO NURSING HOME [24 CFR 813.106(a)]

If a family member is permanently confined to a hospital or nursing home and there is a family member left in the household, the HA will calculate the Total Tenant Payment.

1. Include the income of the person permanently confined to the nursing home and give the family the medical deductions allowable on behalf of the person in the nursing home.
2. Include the income and deductions of the member if his/her income goes to a family member.
3. Calculate the income by using the following methodology and use the income figure which would result in a lower payment by the family:
 - Exclude the income of the person permanently confined to the nursing home and give the family no deductions for medical expenses of the confined family member.

F. REGULAR CONTRIBUTIONS AND GIFTS [24 CFR 813.106(b)(7)]

Regular contributions and gifts received from persons outside the household are counted as income for calculation of the Total Tenant Payment.

Any contribution or gift received on a repetitive schedule will be considered a “regular” contribution or gift, unless the amount is less than zero dollars per year. This includes rent and utility payments made on behalf of

the family and other cash or non-cash contributions provided on a regular basis. It does not include casual contributions or sporadic gifts. (See Chapter 7, “Verification Procedures,” for further definition.)

If the family’s expenses exceed its known income, the HA will question the family about contributions and gifts.

G. ALIMONY AND CHILD SUPPORT [24 CFR 813.106(b)(7)]

Regular alimony and child support payments are counted as income for calculation of Total Tenant Payment.

If the amount of child support or alimony received is less than the amount awarded by the court, the HA must use the amount awarded by the court unless the family can verify that they are not receiving the full amount.

The HA will accept as verification that the family is receiving an amount less than the award if:

-- The HA received verification from the agency responsible for enforcement or collection.

It is the family’s responsibility to supply a certified copy of the divorce decree.

H. LUMP-SUM RECEIPTS [24 CFR 813.106(b)(4)]

Lump-sum additions to Family assets, such as inheritances, insurance payments (including payments under health and accident insurance and worker’s compensation), capital gains, and settlement for personal or property losses, are not included in income but may be included in assets.

Lump-sum payments caused by delays in processing periodic payments (unemployment or welfare assistance) are counted as income. Lump sum payments from Social Security or SSI are excluded from income, but any amount remaining will be considered an asset. Deferred periodic payments which have accumulated due to a dispute will be treated the same as periodic payments which are deferred due to delays in processing.

In order to determine amount of retroactive tenant rent that the family owes as a result of the lump sum receipt:

-- The HA uses a calculation method which calculates retroactively to date of receipt and/or prospectively depending on the circumstances.

Prospective Calculation Methodology

If the payment is reported on a timely basis, the calculation will be done prospectively and will result in an interim adjustment calculated as follows:

1. The entire lump-sum payment will be added to the annual income at the time of the interim.
2. The HA will determine the percent of the year remaining until the next annual recertification as of the date of the interim (three months would be 25% of the year).
3. At the next annual recertification, the HA will apply the percentage balance (75% in this example) to the lump sum and add it to the rest of the annual income.
4. The lump sum will be added in the same way for any interims, which occur prior to the next annual recertification.

Retroactive Calculation Methodology

1. The HA will go back to the date the lump-sum payment was received, or to the date of admission, whichever is closer.
2. The HA will determine the amount of income for each certification period, including the lump sum, and recalculate the tenant rent for each certification period to determine the amount due the HA.

The family has the choice of paying this “retroactive” amount to the HA in a lump sum; or, at the HA’s option, the HA may enter into a Repayment Agreement with the family.

The amount owed by the family is a collectible debt even if the family becomes unassisted.

Attorney Fees

The family’s attorney fees may be deducted from lump-sum payments when computing annual income if the attorney’s efforts have recovered a lump-sum compensation, and the recovery paid to the family does not include an additional amount in full satisfaction of the attorney fees.

I. CONTRIBUTIONS TO RETIREMENT FUNDS - ASSETS

Contributions to company retirement/pension funds are handled as follows:

1. While an individual is employed, count as assets only amounts the family can withdraw without retiring or terminating employment.
2. After retirement or termination of employment, count any amount the employee elects to receive as a lump sum.

J. ASSETS DISPOSED OF FOR LESS THAN FAIR MARKET VALUE

The HA must count assets disposed of for less than fair market value during the two years preceding certification or reexamination. The HA will count the difference between the market value and the actual payment received in calculating total assets.

Assets disposed of as a result of foreclosure or bankruptcy are not considered to be assets disposed of for less than fair market value. Assets disposed of as a result of a divorce or separation are not considered to be assets disposed of for less than fair market value.

The HA’s minimum threshold for counting assets disposed of for less than Fair Market value is \$5,000. If the total value of assets disposed of within a one-year period is less than \$5,000, they will not be considered an asset.

K. CHILD CARE EXPENSES [24 CFR 813.102]

Childcare expenses for children under 13 may be deducted from annual income if they enable an adult to work or attend school full time.

In the case of a child attending private school, only after-hours care can be counted as child-care expenses.

Childcare expenses cannot be allowed as a deduction if there is an adult household member capable of caring for the child who can provide the child-care.

Allowability of deductions for child care expenses is based on the following guidelines:

- Child care to work - The maximum child care expense allowed must be less than the amount earned by the person enabled to work. The “person enabled to work” will be the adult member of the household who earns the least amount of income from working.
- Child care for school - The number of hours claimed for child care may not exceed the number of hours the family member is attending school (including one hour travel time to and from school).
- Amount of Expense - The HA will survey the local care providers in the community/collect data as a guideline. If the hourly rate materially exceeds the guideline, the HA may calculate the allowance using the guideline.

L. MEDICAL EXPENSES [24 CFR 813.102(d)]

When it is unclear in the HUD rules as to whether or not to allow an item as a medical expense, IRS Publication 502 will be used as a guide.

Accupressure, acupuncture and related herbal medicines, and chiropractic services will be considered allowable medical expenses.

M. PRORATION OF ASSISTANCE FOR “MIXED” FAMILIES [24 CFR 812.11]

Applicability

Proration of assistance must be offered to any “mixed” applicant or participant family. A “mixed” family is one that includes at least one U.S. citizen or eligible immigrant and any number of ineligible members.

“Mixed” families that were a participant on June 19, 1995, and that do not qualify for continued assistance must be offered prorated assistance. (See Chapter 12, “Recertifications.”) Applicant mixed families are entitled to prorated assistance. Families that become mixed after June 19, 1995, by addition of an ineligible member are entitled to prorated assistance.

Prorated Assistance Calculation

Prorated assistance is calculated by determining the amount of assistance payable if all family members were eligible and multiplying by the percent of the family members who actually are eligible. Total Tenant Payment is the gross rent minus the prorated assistance.

N. REDUCTION IN BENEFITS

If the family’s benefits, such as social security, SSI or AFDC, are reduced through no fault of the family, the HA will use the net amount of the benefit.

If the family’s benefits were reduced due to family error, omission, or misrepresentations, the HA will use the gross amount of the benefit.

O. UTILITY ALLOWANCE AND UTILITY REIMBURSEMENT PAYMENTS [24 CFR 813.102, 813.108]

The same Utility Allowance Schedule is used for both Certificates and Vouchers.

The Utility allowance is intended to help defray the cost of utilities not included in the rent and is subtracted from Total Tenant Payment to establish the family's rent to the landlord. The allowances are based on actual rates and average consumption studies, not on a family's actual consumption. The HA will review the Utility Allowance Schedule on an annual basis and revise it if needed.

The approved utility allowance schedule is given to families along with their Certificate or Voucher. The utility allowance is based on the actual unit size selected.

Where families provide their own range and refrigerator, the HA will establish an allowance adequate for the family to purchase or rent a range or refrigerator, even if the family already owns either appliance. Allowances for ranges and refrigerators are based on the lesser of the cost of leasing or purchasing the appropriate appliance.

Where the Utility Allowance exceeds the family's Total Tenant Payment, the HA will provide a Utility Reimbursement Payment for the family each month. The check will be made out directly to the tenant.

Chapter 7

VERIFICATION PROCEDURES [24 CFR 813.106 & 109, 913.106, 982.101 & 102]

INTRODUCTION

HUD regulations require that the factors of eligibility and Total Tenant Payment be verified by the HA. Applicants and program participants must furnish proof of their statements whenever required by the HA, and the information they provide must be true and complete. The HA's verification requirements are designed to maintain program integrity. This Chapter explains the HA's procedures and standards for verification of preferences, income, assets, allowable deductions, family status, and when there are changes in family members. The HA will ensure that proper authorization from the family is always obtained before making verification inquiries.

A. METHODS OF VERIFICATION AND TIME ALLOWED

The HA will verify information through the four methods of verification acceptable to HUD.

1. Third-Party Written
2. Third-Party Oral
3. Review of Documents
4. Certification/Self-Declaration

For applicants, verifications may not be more than 60 days old at the time of Certificate/Voucher issuance. For participants, they are valid for 120 days from date of receipt.

Third-Party Written Verification

Third-party verification is used to verify information directly with the source. Third-party written verification forms will be sent and returned via first class mail. The family will be required to sign an authorization for the information source to release the specified information.

Verifications received electronically directly from the source are considered third party written verifications.

Third party verification forms will not be hand-carried by the family under any circumstances.

- The HA will accept verifications delivered by the family except computerized printouts from the following agencies:
 - Social Security Administration
 - Veterans Administration
 - Welfare Assistance
 - Unemployment Compensation Board
 - City or County Courts

Third-Party Oral Verification

Oral third-party verification will be used when written third party verification is delayed or not possible. When third-party oral verification is used, staff will be required to complete a Certification of Document Viewed or Person Contacted form, noting with whom they spoke, the date of the conversation, and the facts provided. If oral third party verification is not available, the HA will compare the information to any documents provided by the Family. If provided by telephone, the HA must originate the call.

Review of Documents

In the event that third-party written or oral verification is unavailable, or the information has not been verified by the third party within six weeks, the HA will notate the file accordingly and utilize documents provided by the family as the primary source if the documents provide complete information.

All such documents, excluding government checks, will be photocopied and retained in the applicant file. In cases where documents are viewed which cannot be photocopied, staff viewing the document(s) will complete a Certification of Document Viewed or Person Contacted form.

The HA will accept the following documents from the family provided that the document is such that tampering would be easily noted.

- Printed wage stubs
- Computer print-outs from the employer.
- Signed letters (provided that the information is confirmed by phone or notarized).
- Other documents noted in this Chapter as acceptable verification.

The HA will accept FAXed documents.

The HA will accept photocopies.

If third-party verification is received after documents have been accepted as provisional verification, and there is a discrepancy, the HA will utilize the third party verification.

The HA will not delay the processing of an application beyond six weeks because a third party information provider does not return the verification in a timely manner.

Self-Certification/Self-Declaration

When verification cannot be made by third-party verification or review of documents, families will be required to submit a self-certification.

Self-certification means a notarized statement/affidavit/certification/statement under penalty of perjury, and must be witnessed.

B. RELEASE OF INFORMATION

The family will be required to sign specific authorization forms when information is needed that is not covered by the HUD Form 9886, Authorization for Release of Information.

Each member requested to consent to the release of information will be provided with a copy of the appropriate forms for their review and signature.

Family refusal to cooperate with the HUD prescribed verification system will result in denial of admission or termination of assistance because it is a family obligation to supply any information requested by the HA or HUD.

C. COMPUTER MATCHING

Where allowed by HUD and/or other State of local agencies, computer matching will be done.

D. ITEMS TO BE VERIFIED

1. All income not specifically excluded by the regulations.
2. Zero-income status of household.
3. Full-time student status including High School students who are 18 or over.
4. Current assets including assets disposed of for less than fair market value in preceding two years.
5. Child care expense where it allows a head of household/spouse family member to be employed or to further his/her education.
6. Total medical expenses of all family member in households whose head or spouse is elderly or disabled.
7. Disability assistance expenses to include only those costs associated with attendant care or auxiliary apparatus which allow a family member to be employed.
8. Identity.
9. U.S. citizenship/eligible immigrant status.
10. Social Security Numbers for all family members 6 years of age or older.
11. "Preference" status, based upon Federal, Ranking, or Local preferences.
12. Familial status when needed for head or spouse definition.
13. Disability for determination of preferences, allowances or deductions.

E. VERIFICATION OF INCOME

This section defines the methods the HA will use to verify various types of income.

Employment Income

Verification forms request the employer to specify the:

- Dates of employment.
- Amount and frequency of pay.
- Date of the last pay increase.
- Likelihood of change of employment status and effective date of any known salary increase during the next 12 months.
- Year to date earnings.
- Estimated income from overtime, tips, bonus pay expected during next 12 months.

Acceptable methods of verification include, in this order:

1. Employment verification form completed by the employer.
2. Check stubs or earning statements which indicate the employee's gross pay, frequency of pay or year to date earnings.
3. W-2 forms plus income tax return forms.
4. Income tax returns signed by the family may be used for verifying self-employment income, or income from tips and other gratuities.

Applicants and program participants may be requested to sign an authorization for release of information from the Internal Revenue Service for further verification of income.

In cases where there are questions about the validity of information provided by the family, the HA will require the most recent Federal income tax statements.

Where doubt regarding income exists, a referral to IRS for confirmation will be made on a case-by-case basis.

Social Security, Pensions, Supplementary Security Income (SSI), Disability Income

Acceptable methods of verification include, in this order:

1. Benefit verification form completed by agency providing the benefits.
2. Award or benefit notification letters prepared and signed by the providing agency.
3. Computer report in hard copy.
4. Bank statements for direct deposits.

Unemployment Compensation

Acceptable methods of verification include, in this order:

1. Verification form completed by the unemployment compensation agency.
2. Computer printouts from unemployment office stating payment dates and amounts.

Welfare Payments or General Assistance

Acceptable methods of verification include, in this order:

1. HA verification form completed by payment provider.
2. Written statement from payment provider indicating the amount of grant/payment, start date of payments, and anticipated changes in payment in the next 12 months.
3. Computer generated Notice of Action.
4. Computer generated list of recipients from Welfare Department.

Alimony or Child Support Payments

Acceptable methods of verification include, in this order:

1. Copy of a separation or settlement agreement or a divorce decree stating amount and type of support and payment schedules (for children in wedlock).
2. A (notarized) letter from the person paying the support (for children out of wedlock).
3. Copy of latest check and/or payment stubs from Court Trustee. HA must record the date, amount, and number of the check.
4. Family's self-certification of amount received and of the likelihood of support payments being received in the future, or that support payments are not being received.
5. If payments are irregular, the family must provide:
 - (a) A copy of the separation or settlement agreement, or a divorce decree stating the amount and type of support and payment schedules.
 - (b) A statement from the agency responsible for enforcing payments to show that the family has filed for enforcement.
 - (c) A notarized affidavit from the family indicating the amount(s) received.
 - (d) A welfare notice of action showing amounts received by the welfare agency for child support.
 - (e) A written statement from an attorney certifying that a collection or enforcement action has been filed.

Net Income from a Business

In order to verify the net income from a business, the HA will view IRS and financial documents from prior years and use this information to anticipate the income for the next 12 months.

Acceptable methods of verification include:

1. IRS Form 1040, including:
 - Schedule C (Small Business)
 - Schedule E (Rental Property Income)
 - Schedule F (Farm Income)
2. If accelerated depreciation was used on the tax return or financial statement, an accountant's calculation of depreciation expense, computed using straight-line depreciation rules.
3. Audited or unaudited financial statement(s) of the business.
4. Credit report or loan application.
5. Documents such as manifests, appointment books, cash books, bank statements, and receipts will be used as a guide for the prior six months (or lesser period if not in business for six months) to project income for the next 12 months. The family will be advised to maintain these documents in the future if they are not available.
6. Not acceptable is a family's self-certification as to net income realized from the business during previous years.

Recurring Gifts

The family must furnish a self-certification which contains the following information:

- The person who provides the gifts
- The value of the gifts
- The regularity (dates) of the gifts
- The purpose of the gifts

Zero Income Status

Families claiming to have no income will be required to execute verification forms to determine that forms of income such as unemployment benefits, AFDC, SSA, etc., are not being received by the household.

The HA will request information from the State Employment Development Department.

The HA will request information from the IRS.

The HA may check records of other departments in the jurisdiction (such as government utilities) that have information about income sources of customers.

Full-Time Student Status

Only the first \$480 of the earned income of full time students, other than head or spouse, will be counted towards family income.

Financial aid, scholarships and grants received by full time students is not counted towards family income.

Verification of full time student status includes:

1. Written verification from the registrar's office or other school official.
2. School records indicating enrollment for sufficient number of credits to be considered a full-time student by the educational institution.

F. INCOME FROM ASSETS

Acceptable methods of verification include, in this order:

Savings Account Interest Income and Dividends

Will be verified by:

1. Account statements, passbooks, certificates of deposit, or HA verification forms completed by the financial institution.
2. Broker's statements showing value of stocks or bonds and the earnings credited the family. Earnings can be obtained from current newspaper quotations or oral broker's verification.
3. IRS Form 1099 from the financial institution, provided that the HA must adjust the information to project earnings expected for the next 12 months.

Interest Income from Mortgages or Similar Arrangements

1. A letter from an accountant, attorney, real estate broker, the buyer, or a financial institution stating interest due for the next 12 months. (A copy of the check paid by the buyer to the family is not sufficient unless a breakdown of interest and principal is shown.)
2. Amortization schedule showing interest for the 12 months following the effective date of the certification or recertification.

Net Rental Income from Property Owned by Family

1. IRS Form 1040 with Schedule E (Rental Income).

2. Copies of latest rent receipts, leases, or other documentation of rent amounts.
3. Documentation of allowable operating expenses of the property: tax statements, insurance invoices, bills for reasonable maintenance and utilities, and bank statements or amortization schedules showing monthly interest expense.
4. Lessee's written statement verifying rent payments to the family and family's self-certification as to net income realized.

G. VERIFICATION OF ASSETS

Family Assets

The HA will require the necessary information to determine the current cash value, (the net amount the family would receive if the asset were converted to cash).

1. Verification forms, letters, or documents from a financial institution or broker.
2. Passbooks, checking account statements, certificates of deposit, bonds, or financial statements completed by a financial institution or broker.
3. Quotes from a stock broker or realty agent as to net amount family would receive if they liquidated securities or real estate.
4. Real estate tax statements if the approximate current market value can be deduced from assessment.
5. Financial statements for business assets.
6. Copies of closing documents showing the selling price and the distribution of the sales proceeds.
7. Appraisals of personal property held as an investment.
8. Family's self-certification describing assets or cash held at the family's home or in safe deposit boxes.

Assets Disposed of for Less than Fair Market Value (FMV) (during two years preceding effective date of certification or recertification)

1. For all Certifications and Recertifications, the HA will obtain the Family's certification as to whether any member has disposed of assets for less than fair market value during the two years preceding the effective date of the certification or recertification.
2. If the family certifies that they have disposed of assets for less than fair market value, verification (or certification) is required that shows: (a) all assets disposed of for less than FMV, (b) the date they were disposed of, (c) the amount the family received, and (d) the market value of the assets at the time of disposition. Third party verification will be obtained wherever possible.

H. VERIFICATION OF ALLOWABLE DEDUCTIONS FROM INCOME

Child Care Expenses

1. Written verification from the person who received the payments is required. If the child care provider is an individual, he/she must provide a statement of the amount they are charging the family for their services.
2. Verifications must specify the child care provider's name, address, telephone number, Social Security Number, the names of the children cared for, the number of hours the child care occurs, the rate of pay, and the typical yearly amount paid, including school and vacation periods.
3. Family's certification as to whether any of those payments have been or will be paid or reimbursed by outside sources.

Medical Expenses

Families who claim medical expenses or expenses to assist a person(s) with disability will be required to submit a certification as to whether or not any expense payments have been, or will be, reimbursed by an outside source. All expense claims will be verified by one or more of the methods listed below:

1. Written verification by a doctor, hospital or clinic personnel, dentist, pharmacist, of (a) the anticipated medical costs to be incurred by the family and regular payments due on medical bills; and (b) extent to which those expenses will be reimbursed by insurance or a government agency.
2. Written confirmation by the insurance company or employer of health insurance premiums to be paid by the family.
3. Written confirmation from the Social Security Administration's written of Medicare premiums to be paid by the family over the next 12 months. A computer printout will be accepted.
4. For attendant care:
 - (a) A reliable, knowledgeable professional's certification that the assistance of an attendant is necessary as a medical expense and a projection of the number of hours the care is needed for calculation purposes.
 - (b) Attendant's written confirmation of hours of care provided and amount and frequency of payments received from the family or agency (or copies of canceled checks the family used to make those payments) or stubs from the agency providing the services.
5. Receipts, canceled checks, or pay stubs that verify medical costs and insurance expenses likely to be incurred in the next 12 months.
6. Copies of payment agreements or most recent invoice that verify payments made on outstanding medical bills that will continue over all or part of the next 12 months.
7. Receipts or other record of medical expenses incurred during the past 12 months that can be used to anticipate future medical expenses. HA may use this approach for "general medical expenses" such as non-prescription drugs and regular visits to doctors or dentists, but not for one-time, nonrecurring expenses from the previous year.
8. The HA will use mileage at the HA's rate, or cab, bus fare, or other public transportation cost for verification of the cost of transportation directly related to medical treatment.

Assistance to Persons with Disabilities

1. In All Cases:
 - (a) Written certification from a reliable, knowledgeable professional that the person with disabilities requires the services of an attendant and/or the use of auxiliary apparatus to permit him/her to be employed or to function sufficiently independently to enable another family member to be employed.
 - (b) Family's certification as to whether they receive reimbursement for any of the expenses of disability assistance and the amount of any reimbursement received.
2. Attendant Care:
 - (a) Attendant's written certification of amount received from the family, frequency of receipt, and hours of care provided.
 - (b) Certification of family and attendant and/or copies of canceled checks family used to make payments.
3. Auxiliary Apparatus:
 - (a) Receipts for purchases or proof of monthly payments and maintenance expenses for auxiliary apparatus.
 - (b) In the case where the person with disabilities is employed, a statement from the employer that the auxiliary apparatus is necessary for employment.

I. VERIFYING NON-FINANCIAL FACTORS

Verification of Legal Identify

In order to prevent program abuse, the HA will require applicants to furnish verification of legal identity for all family members.

The documents listed below will be considered acceptable verification of legal identify for adults. If a document submitted by a family is illegible or otherwise questionable, more than one of these documents may be required.

- Certificate of birth, naturalization papers
- Church issued baptismal certificate
- Current, valid driver's license
- U.S. military discharge (DD214)
- U.S. passport
- Voter's registration
- Company/agency identification card
- Department of Motor Vehicles identification card
- Hospital records

Documents considered acceptable for the verification of legal identity for minors may be one or more of the following:

- Certificate of birth
- Adoption papers
- Custody agreement
- Health and Human Services ID
- School records

If none of these documents can be provided, a third party who knows the person may, at the HA's discretion, provide a verification.

Verification of Marital Status

1. Verification of divorce status will be a certified copy of the divorce decree, signed by a Court Officer.
2. Verification of a separation may be a copy of court-ordered maintenance or other records.
3. Verification of marriage status is a marriage certificate.

Familial Relationships

Familial status is defined as:

1. Two or more persons sharing residency whose income and resources are available to meet the family's needs and who are related by blood, marriage, or operation of law (or who give evidence of a stable relationship which has existed over a 12-month period of time.
2. Single pregnant women with no other children shall also constitute a family. Persons in the process of adopting an individual under the age of 18 are treated the same as single pregnant women.

Certification will normally be considered sufficient verification of family relationships. In cases where reasonable doubt exists, the family may be asked to provide verification.

The following verifications will always be required if applicable:

- Verification of relationship:
 - Official identification showing names
 - Birth certificates
 - Baptismal certificates
- Verification of guardianship is:
 - Court-ordered assignment
 - Affidavit of parent
 - Verification from social services agency
 - School records
- Evidence of a stable family relationship:
 - Joint bank accounts or other shared financial transactions
 - Leases or other evidence of prior cohabitation
 - Credit reports showing relationship

Verification of Permanent Absence of Adult Member

If an adult member who was formerly a member of the household is reported permanently absent by the family, the HA will consider any of the following as verification:

1. Husband or wife institutes divorce action.
2. Husband or wife institutes legal separation.
3. Order of protection/restraining order obtained by one family member against another.
4. Proof of another home address, such as utility bills, canceled checks for rent, driver's license, or lease or rental agreement, if available.
5. Statements from other agencies such as social services or a written statement from the landlord or manager that the adult family member is no longer living at that location.
6. If no other proof can be provided, the HA will accept a self-certification from the family under penalty of fraud.
7. If the adult family member is incarcerated, a document from the Court or prison should be obtained stating how long they will be incarcerated.

Verification of Change in Family Composition

The HA may verify changes in family composition (either reported or unreported) through letters, telephone calls, utility records, inspections, landlords, neighbors, credit data, school or DMV records, and other sources.

Verification of Disability

Verification of disability must be receipt of SSI or SSA disability payments under Section 223 of the Social Security Act or 102(7) of the Developmental Disabilities Assistance and Bill of Rights Act (42 USC 6001(7)) or verified by appropriate diagnostician such as physician, psychiatrist, psychologist, therapist, rehab specialist, or licensed social worker, using the HUD language as the verification format.

Verification of Citizenship/Eligible Immigrant Status

To be eligible for assistance, individuals must be U.S. citizens or eligible immigrants. Individuals who are neither may elect not to contend their status. Eligible immigrants must fall into one of the categories specified by the regulations and must have their status verified by Immigration and Naturalization Service (INS). Each family member must declare their status once. Assistance cannot be delayed, denied, or terminated while

verification of status is pending except that assistance to applicants may be delayed while the HA hearing is pending.

1. Citizens or Nationals of the United States are required to sign a declaration under penalty of perjury.
2. Eligible Immigrants who were Participants and 62 or over on June 19, 1995, are required to sign a declaration of eligible immigration status and provide proof of age.
3. Noncitizens with eligible immigration status must sign a declaration of status and verification consent form and provide their original immigration documents which are copied front and back and returned to the family. The HA verifies the status through the INS SAVE system. If this primary verification fails to verify status, the HA must request within ten days that the INS conduct a manual search.
4. Ineligible family members who do not claim to be citizens or eligible immigrants must be listed on a statement of ineligible family members signed by the head of household or spouse.
5. Noncitizen students on student visas are ineligible members even though they are in the country lawfully. They must provide their student visa but their status will not be verified and they do not sign a declaration but are listed on the statement of ineligible members.

Failure to Provide - If an applicant or participant family member fails to sign required declarations and consent forms or provide documents, as required, they must be listed as an ineligible member. If the entire family fails to provide and sign as required, the family may be denied or terminated for failure to provide required information.

Time of Verification - For applicants, verification of U.S. citizenship/eligible immigrant status occurs at the same time as verification of other factors of eligibility for final eligibility determination. For participants, it is done at the first regular recertification after June 19, 1995. For family members added after other members have been verified, the verification occurs at the first recertification after the new member moves in. Once verification has been completed for any covered program, it need not be repeated except that, in the case of port-in families, if the initial HA does not supply the documents, the HA must conduct the determination.

Extensions of Time to Provide Documents - Extensions must be given for persons who declare their eligible immigration status but need time to obtain the required documents. The length of the extension shall be based on individual circumstances. The HA will generally allow up to thirty days to provide the document or a receipt issued by the INS for issuance of replacement documents.

Acceptable Documents of Eligible Immigration - The regulations stipulate that only the following documents are acceptable unless changes are published in the Federal Register.

- Resident Alien Card (I-551)
- Alien Registration Receipt Card (I-151)
- Arrival-Departure Record (I-94)
- Temporary Resident Card (I-688)
- Employment Authorization Card (I-688B)
- Receipt issued by the INS for issuance of replacement of any of the above documents that shows individual's entitlement has been verified.

A birth certificate is not acceptable verification of status. All documents in connection with U.S. citizenship/eligible immigrant status must be kept five years.

Verification of Social Security Numbers

Social security numbers must be provided as a condition of eligibility for all family members age six and over, if they have been issued a number. Verification of Social Security numbers will be done through a Social Security Card issued by the Social Security Administration. If a family member cannot produce a Social

Security Card, only the documents listed below showing his or her Social Security Number may be used for verification. The family is also required to certify in writing that the document(s) submitted in lieu of the Social Security Card information provided is/are complete and accurate:

- A driver's license
- Identification card issued by a Federal, State, or local agency
- Identification card issued by a medical insurance company or provider (including Medicare and Medicaid)
- An identification card issued by an employer or trade union
- An identification card issued by a medical insurance company
- Earnings statements or payroll stubs
- Bank Statements
- IRS Form 1099
- Benefit award letters from government agencies
- Retirement benefit letter
- Life insurance policies
- Court records such as real estate, tax notices, marriage and divorce, judgment or bankruptcy records
- Verification of benefits or Social Security Number from Social Security Administration

New family members ages six and older will be required to produce their Social Security Card or provide the substitute documentation described above together with their certification that the substitute information provided is complete and accurate. This information is to be provided at the time the change in family composition is reported to the HA.

If an applicant or participant is able to disclose the Social Security Number but cannot meet the documentation requirements, the applicant or participant must sign a certification to that effect provided by the HA. The applicant/participant or family member will have an additional thirty days to provide proof of the Social Security Number. If they fail to provide this documentation, the family's assistance will be terminated.

In the case of an individual at least 62 years of age, the HA may grant an extension for an additional 60 days to a total of 120 days. If, at the end of this time, the elderly individual has not provided documentation, the family's assistance will be terminated.

If the family member states they have not been issued a number, the family member will be required to sign a certification to this effect.

Medical Need for Larger Unit

A written certification that a larger unit is necessary must be obtained from a reliable, knowledgeable professional.

J. WAITING LIST PREFERENCES [24 CFR 982.207]

Federal Preferences

1. Involuntary Displacement:
 - (a) Families who claim they are being or have been displaced due to either a disaster or government action: written verification by the displacing unit or agency of government.
 - (b) Families who claim they are being or have been displaced because of actions taken by the owner/agent of the unit the family is renting: Notification by owner to family of the

- action/written notices or verification by the owner or agent/documents such as sales agreements, foreclosure building permits.
- (c) Families who claim they are being or have been displaced due to domestic violence: Written verification from police, social service agency, court, clergyperson, physician, and/or public or private facility giving shelter and/or counseling to victims.
 - Verification must be obtained (from a landlord or other source) that the abuser still resides at the unit.
 - The family must certify that the abuser will not return to the household without the advance written approval of the HA. If considering approval, the HA will require verification of the following:
 - That the family members involved have been through a counseling program and the service provided believes that a reconciliation is likely.
 - Statement from social worker, psychologist, or other professional familiar with the abuser that he/she has received counseling/treatment and is unlikely to continue the abuse.
 - Statement from local law enforcement agency that no complaints have been filed since the date of the preference approval.
 - (d) Families who claim they have been or are about to be displaced to avoid reprisals for providing information to assist police in a criminal investigation.
 - Certification of threat assessment by a law enforcement agency
 - Written recommendation from law enforcement agency or HUD.
 - (e) Families who claim to be displaced by hate crimes.
 - Written statement from law enforcement agency, HUD, Fair Housing or other agency responsible for non-discrimination advocacy. Statement should contain approximate number of occurrences and date of last occurrence.
 - (f) Displacement by inaccessibility of unit.
 - Statement from the owner of the critical elements that are inaccessible, and that the owner is not going to make the needed modifications, or permit the family to make the modifications.
 - Inspection by HA to verify inaccessibility of critical elements.
 - Statement from the owner of the building that the accommodations required will not be made.
 - If the owner permits the tenant to make the modifications, verification that the family cannot afford the expense
 - (g) Displacement by HUD disposition of a project: Written verification from HUD.
 - (h) Determination of Standard Replacement Housing: Inspection by HA inspector.

2. Living in Substandard Housing:

- (a) Families who claim to be living in a substandard housing unit: Written verification by a government agency.
- (b) “Homeless” families: written certification by a public or private facility providing shelter, the police, or a social services agency.
 - The HA designates agencies for this purpose.
 - Prior to processing the application, the HA requires a second certification from the same source that the applicant is not yet permanently housed and has been continuously homeless or temporarily housed since claiming the preference.
 - An HA inspector may verify that the applicant is living in a place not normally used for human habitation.

- If a family is in transitional housing and wishes the HA to hold the family's place on the waiting list while in transitional housing, a statement is required from the agency providing the transitional housing.

3. Rent Burden: Paying more than 50% of income for rent:

- (a) Families will be required to verify their income, the amount of rent and utilities they are obligated to pay, and the period of time they have been residing in the unit.
 - Families must furnish copies of rental receipts/the lease/canceled checks/money orders
 - The HA may contact the landlord directly by mail or telephone
 - The HA compares the address with address(es) used on other documents in the file
 - In cases where the family pays rent to a co-renter or sublets the unit, the HA requires a certification from the person who receives the money from the applicant, and verification from the owner that the family resides in the unit.
 - If there is no rental agreement, and no other landlord verification, the HA will require representative documentation for six months.
 - If there is no lease or occupancy agreement and the family is receiving public assistance, the HA may verify the amount of rent and address of the unit with the appropriate social service agency.
 - If there is no lease or occupancy agreement, and the family is not receiving public assistance, the HA will require receipts and other forms of identification which indicate the residence. Such documents include receipts, telephone bills, utility bills, driver's license, school records.
- (b) To verify the amount due to amortize the purchase price of a manufactured home, copies of the most recent payment receipts, canceled checks or money order receipts, or a copy of the current purchase agreement.
- (c) At the family's option, the HA can use either the actual cost of utilities or the HA's Section 8 Existing utility allowance schedule. To verify the amount the family actually paid for utilities not included in the rent (if the Section 8 Utility Allowance Schedule is not used):
 - Copies of receipts, canceled checks, bills showing previous utility payments.
 - Written verification of consumption costs directly from the utility or service supplier.
 - Verification must be provided for a minimum period of three months.
- (d) Documentation of the amount of rent due must be provided for a period of three months.

Ranking Preferences

In order to verify that an applicant is a resident, the HA will review and consider the following documents: rent receipts, leases, utility bills, employer or agency records, school records, driver's licenses, voters' registration records, credit reports, statement from household with whom the family is residing.

For families who have been hired to work in jurisdiction of the HA, a statement from the employer will be required.

Local/State Preferences

Veterans' preference: This preference is available to current members of the U.S. Military Armed Forces, veterans, or surviving spouses of veterans.

The HA will require U.S. government documents which indicate that the applicant qualifies under the above definition.

Chapter 8

CERTIFICATE/VOUCHER ISSUANCE AND BRIEFINGS

INTRODUCTION

The HA's objectives are to assure that families selected to participate are successful in obtaining an acceptable housing unit, and that they have sufficient knowledge to derive maximum benefit from the program and to comply with program requirements. When families have been determined to be eligible, the HA will conduct a mandatory briefing to ensure that families know how the program works. The briefing will provide a broad description of owner and family responsibilities, HA procedures, and how to lease a unit. The family will also receive a briefing packet which provides more detailed information about the program. This Chapter describes how briefings will be conducted, the information that will be provided to families, and the policies for how changes in the family composition will be handled.

A. ISSUANCE OF CERTIFICATES/VOUCHERS [24 CFR 982.204(d), 982.54(d)(2)]

When funding is available, the HA will issue Certificates and Vouchers to applicants whose eligibility has been determined. The issuance of Certificates and Vouchers must be within the dollar limitations set by the ACC budget.

The number of Certificates and Vouchers issued must ensure that the HA stays as close as possible to 100% lease-up. The HA performs a monthly calculation electronically and/or manually to determine whether applications can be processed, the number of Certificates and Vouchers that can be issued, and to what extent the HA can over-issue (issue more Certificates or Vouchers than the budget allows).

The HA may over-issue Certificates or Vouchers only to the extent necessary to meet leasing goals. All Certificates and Vouchers which are over-issued must be honored. If the HA finds it is over-leased, it must adjust future issuance of Certificates or Vouchers in order not to exceed the ACC budget limitations over the fiscal year.

B. BRIEFING TYPES AND REQUIRED ATTENDANCE [24 CFR 982.301]

Initial Applicant Briefing

A full HUD-required briefing will be conducted for applicant families who are determined to be eligible for assistance. The briefings will be conducted in groups. Families who attend group briefings and still have the need for individual assistance will be referred to the Section 8 Coordinator (Supervisor).

Briefings for the Certificate Program and the Voucher Program will be held separately. Briefings will be conducted in English. Individual briefings will also be conducted in other languages (including Spanish) via interpreter, provided either by applicant or, if necessary, the HA.

The purpose of the briefing is to explain the documents in the Certificate/Voucher holder's packet to families so that they are fully informed about the program. This will enable them to utilize the program to their advantage, and it will prepare them to discuss it with potential owners and property managers.

The HA will not issue a Certificate or Voucher to a family unless the household representative has attended a briefing and signed the Certificate or Voucher. Applicants who provide prior notice of inability to attend a briefing will automatically be scheduled for the next briefing. Applicants who fail to attend one scheduled briefing, without prior notification and approval of the HA, may be denied admission based on failure to supply information needed for certification. The HA will conduct individual briefings for families with disabilities at their home, upon request by the family, if required for reasonable accommodation.

Briefing Packet

The documents and information provided in the briefing packets for both the Certificate and Voucher programs will comply with all HUD requirements. The HA also includes other information and/or materials which are not required by HUD.

The family is provided with the following information and materials:

1. The term of the certificate or voucher, and the HA policy for requesting extensions to the term of the certificate or voucher or suspensions of the certificate/voucher.
2. A description of the method used to calculate the assistance payment, information on Fair Market Rents (certificate program), payment standards (voucher program), and utility allowances.
3. How the maximum allowable rent is determined including the rent reasonableness standard.
4. Guidance and materials to assist the family in selecting a unit, such as proximity to employment, public transportation, school, shopping, and the accessibility of services. Guidance will also be provided to assist the family to evaluate the prospective unit, such as the condition, whether the rent is reasonable, average utility expense, energy efficiency, and security.
5. The boundaries of the geographical area in which the family may lease a unit including an explanation of portability.
6. The (HA model) lease and HUD lease addendum.
7. The Request for Lease Approval form, and a description of the procedure for requesting approval for a unit.
8. The HA policy on providing information about families to prospective owners.
9. The Subsidy Standards, when and how exceptions are made.
10. The HUD brochure, "A Good Place to Live" on how to select a unit that complies with HQS.
11. The HUD brochure on lead-based paint.
12. Information on Federal, State, and local equal opportunity laws including the pamphlet "Fair Housing: It's Your Right" and other information about fair housing laws and guidelines, including the "take one, take all" law; the form for reporting suspected discrimination and the phone numbers of the local fair housing agency and the HUD enforcement office.
13. A list of landlords or other parties willing to lease to assisted families or help in the search and/or known units available for the size certificate or voucher issued.
14. If the family includes a person with disabilities, notice that the HA will provide a list of available accessible units known to the HA.
15. The Family Obligations under the program.
16. The grounds for termination of assistance because of family action or failure to act.
17. When the HA is required to offer an informal hearing, how to request the hearing, and the hearing procedures.
18. An Owner's Handbook, an HQS checklist, and sample contract.
19. Procedures for notifying the HA and/or HUD of program abuses such as side payments, extra charges, violations of tenant rights, and owner failure to repair.
20. Requirements for reporting changes between certifications.
21. Information on security deposits.

Other Information to be Provided at the Briefing

The person conducted the briefing will also describe how the program works and the relationship between the family and the owner, the family and the HA, and the HA and the owner.

The briefing presentation emphasizes:

- Family and owner responsibilities
- Where a family may lease a unit inside and outside its jurisdiction
- How portability works for families eligible to exercise portability
- Advantages to moving to area with low concentration of poor families if family is living in a high poverty census tract in the HA's jurisdiction.
- Exercising choice in residency
- Choosing a unit carefully and only after due consideration.
- The Family Self-Sufficiency program and its advantages.

If the family includes a person with disabilities, the HA will ensure compliance with CFR 8.6 to ensure effective communication.

Move Briefing

A move briefing on any individual basis will be held for participants who will be reissued Certificates or Vouchers to move, and who have been recertified within the last 120 days, and have given notice of intent to vacate to their landlord. This briefing includes incoming and outgoing portable families.

Families failing to attend a scheduled move briefing one time will be denied a new Certificate/Voucher based on failure to provide required information.

C. ENCOURAGING PARTICIPATION IN AREAS WITHOUT LOW INCOME OR MINORITY CONCENTRATION

At the briefing, families are encouraged to search for housing in non-impacted areas and the HA will provide assistance to families who wish to do so.

The assistance provided to such families includes:

- Direct contact with landlords
- Counseling with the family
- Providing information about services in various non-impacted areas
- Formal or informal discussions with social service agencies
- Meeting with fair housing groups or agencies

The HA will maintain lists of available housing submitted by owners in all neighborhoods within the HA's jurisdiction to ensure greater mobility and housing choice to very low income households. The list of owners and units will be provided at the front desk and provided at briefings.

D. ASSISTANCE TO FAMILIES WHO CLAIM DISCRIMINATION

Fair Housing Laws

In compliance with Section 147 of the National Affordable Housing Act, no owner who has entered into a contract for housing assistance payments under this section on behalf of any tenant in a multifamily building (more than four units) shall refuse to lease any available dwelling unit in any multifamily building *owned by the same owner* to a Certificate or Voucher holder solely because of their status as a Certificate or Voucher holder.

The HA provides the family with the HUD discrimination complaint form and directs the family to report suspected discrimination to HUD.

Take One-Take All - In compliance with Section 174 of the National Affordable Housing Act, if an owner who already has a unit in any multifamily building (more than four units) denies a Certificate/Voucher holder admission to any multifamily building *solely* on the basis of their status as a Certificate/Voucher holder, the owner will be reported to HUD Fair Housing Complaints Office.

E. SECURITY DEPOSIT REQUIREMENTS [24 CFR 982.313]

Leases Effective Prior to October 2, 1995

The amount of Security Deposit which could have been collected by owners under contracts effective prior to October 2, 1995 is:

- Under the Certificate Program, the owner could have collected a Security Deposit in an amount not to exceed Total Tenant Payment or \$50.00, whichever is greater, for non-lease-in-place families.
- For the Voucher Program, the owner, at his/her discretion, could have collected a Security Deposit in an amount not to exceed (HA policy):
 - The greater of 30% of adjusted monthly income or \$50 for none-lease-in-place families.

Leases Effective on or after October 2, 1995

Security deposits charged by owners may not exceed those charged to unassisted tenants (nor the maximum prescribed by State or local law.

For lease-in-place families, responsibility for first and last month's rent is not considered a security deposit issue. In these cases, the owner should settle the issue with the tenant prior to the beginning of assistance.

F. TERM OF CERTIFICATE/VOUCHER [24 CFR 982.303, 982.54(d)(11)]

During the briefing session, each household will be issued a Certificate or Voucher which represents a contractual agreement between the HA and the family specifying the rights and responsibilities of each party. It does not constitute admission to the program which occurs when the lease and contract become effective.

Expirations

The Certificate or Voucher is valid for a period of sixty calendar days from the date of issuance. The family must submit a Request for Lease Approval and Lease within the sixty-day period unless an extension has been granted by the HA.

If the Certificate or Voucher has expired, and has not been extended by the HA or expires after an extension, the family will be denied assistance. Their family will not be entitled to a review or hearing. If the family is currently assisted, they may remain as a participant in their unit if there is an assisted lease/contract in effect.

Suspensions

When a Request for Lease Approval is received, the HA will not deduct the number of days required to process the request from the 60-day term of the certificate/voucher.

Extensions

The HA may grant extensions to certificates or vouchers.

A family may request an extension of the Certificate/Voucher time period. All requests for extensions must be received prior to the expiration date of the Certificate/Voucher.

Extensions are permissible at the discretion of the HA up to a maximum of 120 days, primarily for these reasons:

- Extenuating circumstances such as hospitalization or a family emergency for an extended period of time which has affected the family's ability to find a unit within the initial sixty-day period. Verification is required.
- The HA is satisfied that the family has made a reasonable effort to locate a unit, including seeking the assistance of the HA, throughout the initial sixty-day period. A completed search record is required.
- The family was prevented from finding a unit due to disability accessibility requirements or large size (five or greater) bedroom unit requirement. The Search Record is part of the required verification.

The HA extends in 30-day increments. Unless approved by the Executive Director, (no more than two) extensions of thirty days or less will be granted and never for a total of more than an additional sixty days without HUD approval.

The HA will not request HUD approval to extend the Certificate or Voucher beyond an additional 60 days.

Assistance to Certificate/Voucher Holders

Families who require additional assistance during their search may call the HA Office to request assistance. Certificate and Voucher holders will be notified at their briefing session that the HA periodically updates the listing of available units and how the updated list may be obtained.

The HA will assist families with negotiations with owners and provide other assistance related to the families' search for housing.

After the first forty-five days of the search, the family is required to maintain a search record and report to the HA every five working days (once per week).

G. INTERCHANGEABILITY BETWEEN CERTIFICATE AND VOUCHER [24 CFR 982.205(c)(2)]

The HA does not approve a change in the form of assistance unless required due to a lack of funding availability for one form of assistance.

During the initial search period or the move process, the family may only change the form of assistance issued one time:

-- The family will be permitted to change the form of assistance in place.

H. CERTIFICATE/VOUCHER ISSUANCE DETERMINATION FOR SPLIT HOUSEHOLDS [24 CFR 982.315]

In those instances when a family assisted under the Section 8 program becomes divided into two otherwise eligible families due to divorce, legal separation, or the division of the family, and the new families cannot agree as to which new family unit should continue to receive the assistance, and there is no determination by a court, the HA shall consider the following factors to determine which of the families will continue to be assisted:

1. Which of the two new family units has custody of dependent children.
2. The composition of the new family units, and which unit contains elderly or disabled members.
3. Whether domestic violence was involved in the breakup.
4. Which family members remain in the unit.
5. Recommendations of social service professionals.

Documentation of these factors will be the responsibility of the requesting parties.

If documentation is not provided, the HA will terminate assistance on the basis of failure to provide information necessary for a recertification.

Where the breakup of the family also results in a reduction of the size of the Certificate, the family will be required to move to a smaller unit if the current landlord is unwilling to accept the rent level of the smaller sized certificate.

I. REMAINING MEMBER OF TENANT FAMILY - RETENTION OF CERTIFICATE/VOUCHER [24 CFR 812.2-definition]

To be considered the remaining member of the tenant family, the person must have been previously approved by the HA to be living in the unit.

A live-in attendant, by definition, is not a member of the family and will not be considered a remaining member of the family.

In order for a minor child to continue to receive assistance as a remaining family member:

1. The court has to have awarded emancipated minor status to the minor, or a reduction in family size may require a reduction in the certificate or voucher size.